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ELEMENTS OF WRITING ABOUT A LITERARY WORK--A STUDY OF RESPONSE TO LITERATURE.

BY- PURVES, ALAN C. RIPPERE, VICTORIA

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THIS RESEARCH REPORT DESCRIBES A DETAILED CLASSIFICATION SYSTEM FOR THE INDIVIDUAL "ELEMENTS," OR TYPES OF RESPONSES, WHICH MAKE UP THE READER'S TOTAL RESPONSE TO LITERATURE AS IT TAKES FORM IN WRITTEN COMMENTARY ON LITERARY WORKS. CHAPTER 1 DISCUSSES THE ORIGIN OF THE STUDY AND DEFINES ELEMENTS AND THE CATEGORICAL SYSTEM USED IN CLASSIFYING THEM. CHAPTER 2 ELABORATES THE CATEGORIES ("ENGAGEMENT-INVOLVEMENT," "PERCEPTION," "INTERPRETATION," AND "EVALUATION"), SUBCATEGORIES, AND ELEMENTS, AND INCLUDES EXAMPLES OF EACH. CHAPTER 3 DETAILS THE USES OF THIS SYSTEM IN RESEARCH AND EXPLAINS WHEN IT IS MOST VALUABLE TO REPORT BY ELEMENT, CATEGORY, SUBCATEGORY, OR PARADIGM OF ELEMENTS. CHAPTER 4 ASSESSES THE IMPLICATIONS OF THIS CLASSIFICATION SYSTEM FOR TEACHING, PARTICULARLY AS ITS USE CAN AFFECT APPROACHES TO TEACHING LITERATURE AND CONDUCTING CLASS DISCUSSIONS ON INDIVIDUAL LITERARY WORKS. APPENDICES CONTAIN A DEMONSTRATION OF HOW CRITICAL ESSAYS CAN BE ANALYZED BY ELEMENTS, AND A SUMMARY LIST OF THE ELEMENTS, SUBCATEGORIES, AND CATEGORIES. (THIS REPORT IS ALSO AVAILABLE FOR $1.50 FROM THE NATIONAL COUNCIL OF TEACHERS OF ENGLISH, 508 SOUTH SIXTH STREET, CHAMPAIGN, ILLINOIS 61820, STOCK NO. 14754.) (DL)

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Elements * of Writing about a Literary Work: * A Study of Response to Literature

By Alan C. Purves
with Victoria Rippere

National Council of Teachers of English, 508 South Sixth Street, Champaign, Illinois 61820

PURPOSES OF THIS STUDY

To find a basis for comparing responses to literature by students, teachers, and critics of different countries or traditions.

To discover a means of describing the process or the constituents of writing about literature, whether that writing be critical or subcritical and noncritical.

To inspect the counters or procedures used by those who respond to and write about literature.

To acquaint researchers with the "elements" of writing about literature that individual writers draw from and combine in fashioning their essays.

To set forth a scheme for content analysis of expressed responses to a literary work.

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ALAN C. PURVES
Educational Testing Service, 1965-68
University of Illinois, 1968-
with
VICTORIA RIPPERE
University of London

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508 South Sixth Street, Champaign, Illinois 61820

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Empirical research has not contributed notably to our understanding of the processes and procedures involved in literary education. Despite occasional brilliant studies, researchers thus far have only a limited understanding of the complex dimensions of reader response and thus have been unable to construct evaluative instruments with which to analyze reader reaction. Until better ways of assessing response are available, we are not likely to stimulate many valuable and useful studies of the teaching and learning of literature.

This study by Alan Purves contributes significantly to our understanding of the broad dimensions of response to literature. As the author himself cautions, his method of classifying the elements of writing about literature, embracing as it does such a variety of approaches, may err in its very inclusiveness. Yet surely it suggests the complex problems faced by teachers and researchers. None but the most skillful and sensitive reader of a literary work would ever approach this broad spectrum of response and then seldom, if ever, in relation to a single literary selection. Nor would any school wish to set about teaching students about all of the elements listed here, much less expect of them such complexity of response. Yet the range of possible elements may suggest to teachers and researchers alike neglected aspects of literary response. Moreover, the four basic categories —Engagement-Involvement, Perception, Interpretation, Evaluation— form a solid framework for the total schema and in many ways offer an ordered and a reasonably sophisticated portrait of what research has tried thus far to demonstrate about response to literature.

The elements of writing about literature are not necessarily identical with the elements of response. Reactions secured through

written protocols may reflect more what students have been taught to think and feel about literature, rather than what they actually think and feel. Still, one may assume that what is taught will measurably affect personal response and that, consequently, from this complex and highly detailed study of the elements of writing about literature, researchers can develop useful new ways of assessing reader responses.

James R. Squire
For the Committee on Research

September 1967

ACKNOWLEDGMENTS

In the Introduction, I have indicated the great number of people who in one way or another contributed to the formulation of the ideas contained in this book. I should like here to express my thanks to them, and particularly to Mrs. Marlene Bullock, who coped with my scrawl and typed two versions of the manuscript, and to Mrs. Enid Olson for her gracious editing. Two other people must be singled out, for it was they who encouraged me to work on this project and who served as constant critics. They are A. W. Foshay, who is a great teacher, and my wife, Anita, who has continued to encourage me and who first showed me the importance of involvement.

Alan C. Purves

Princeton, New Jersey

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INTRODUCTION

Literature teachers often discuss but seldom define response to literature. They know it is important in the literature classroom and is an assumption in every literature curriculum. Aware that it is not quite the same as what psychologists call response to a stimulus, teachers realize that response to literature is mental, emotional, intellectual, sensory, physical. It encompasses the cognitive, affective, perceptual, and psychomotor activities that the reader of a poem, a story, or a novel performs as he reads or after he has read.

Yet most teachers know that, in the classroom, a student's response will be like an iceberg: only a small part will become apparent to the teacher or even to the student himself. Teachers deal with the visible part of the iceberg whenever they lead a class discussion or assign an essay topic on a literary work. Even this expressed response has not been as closely examined as it might be.

When I was asked to participate in an international study of student achievement in literature, I began to see the need for an outline, a schema, for content analysis that would be applicable to a broad range of expressed responses to a literary work. A. W. Foshay, then director of the Horace Mann-Lincoln Institute, Teachers College, Columbia University, encouraged me to seek or devise such a method. My search became part of a study undertaken by International Educational Achievement, an organization of educational researchers from several countries which was trying to compare student achievement in many subjects. In literature, however, the main problem was not so much setting up norms of achievement as finding some basis for comparing an essay by a student from Belgium with an essay on the same story or poem by a student from the United States.

Finding such a basis has involved many people, all of whom contributed a great deal. Dr. Foshay, Robert Shafer, Lois Beilin, and

I formed the nucleus of the group. Victoria Rippere later joined us. After analyzing various critical formulations, we asked a number of critics and scholars to form a pool of statements about one literary work. Richard Adams, Robert Gorham Davis, Stanley Edgar Hyman, Lewis Leary, Marshall McLuhan, Josephine Miles, Walter J. Ong, S. J., Wilbur Scott, Arlin Turner, and Barry Ulanov contributed to this pool.

We later compared their writings and conversation with those of many students and teachers, all of whom wrote about the same work. From scrutiny of these documents, we drew the first list of elements. Successive lists were later scrutinized and criticized by Wayne C. Booth, James N. Britton, Jacques Dubois, D. W. Harding, Albert Hofstader, Roy Harvey Pearce, Louise Rosenblatt, James R. Squire, and Walter Sutton. To all of these I owe a great debt, as I do the students in this country, Great Britain, Belgium, and Germany whose essays provided a set of checks against the various formulations of the elements.

The study described here is designed to offer a specific formulation of content analysis acceptable to those engaged in research and understandable to those reading that research. It is not a report of findings, but an elaboration of a method and a setting forth of hypotheses. As the reader will soon discover, such a formulation is arbitrary; it sets its own ground rules. I have found these ground rules to be generally acceptable to my colleagues, although we realize that there must be some concession on the part of everyone.

A design for content analysis is not intended as a model for instruction, because it sets few priorities; yet those who teach as well as those who would conduct research may profit from this way of describing what people do. The elements of writing about a literary work, as discussed in this book, can lay the groundwork for the student or teacher who wants a distinct idea of what constitutes an expressed response to literature.

CHAPTER I

THE IDEA OF THE ELEMENTS

The most stimulating force on the teaching of literature in this century has undoubtedly been I. A. Richards' *Practical Criticism*.[1] Through his analysis and critique of the writings of a number of Cambridge undergraduates, Richards brought the scholars and critics of England and America to the realization that there was an educational, if not a professional, need to focus their attention on the text, on literary language and metaphor, and on problems of interpretation. He showed it to be necessary that one understand a work before he move on to judgment or historical investigation, and he raised the question (not yet answered) as to what an understanding of a literary text involves. These matters soon became important to teachers of literature and led to a revolution in the teaching of literature, a revolution heralded by the publication of *Understanding Poetry* in 1938.[2] Generally, most recent critical works are based on an acceptance of Richards' main position, and most texts and curricula in literature on an acceptance of Brooks and Warren. The quarrels are quarrels of emphasis and detail, for few have seriously contested Richards' point that "the only goal of all critical endeavours . . . is improvement in communication" (p. 11), communication between work and critic.

The influence of *Practical Criticism* has primarily been the influence of its conclusions, not that of its methodology, although Richards emphasizes the importance of the latter. This research report is addressed to the methodological problem. Richards' collation of similar statements about a specific work proved excellent for a small study from which prescriptive generalizations about a group are drawn. The method is not adequate, however, to a comparison of groups (British, American, and French students, or students who are thirteen years old and seventeen years old). What is lacking is a means of characterizing the typical pattern of a large group, and particularly a means of assuring a neutral, public, and comprehensive

[1](New York: Harcourt, Brace & World, Inc., 1929).

[2]Cleanth Brooks and Robert Penn Warren, *Understanding Poetry* (3rd edition; New York: Holt, Rinehart and Winston, Inc., 1960).

reading of a great number of essays. Though they were not Richards' purpose, the methodological problems *Practical Criticism* raises deserve as full a treatment as his conclusions have received.

The Origins of the Study

When I undertook to help plan an international study of the ways in which students, teachers, and critics in several countries and out of various traditions write about a work of literature, I found it mandatory to treat the methodological problem first. The study was supposed to examine these ways of writing against the background of educational goals and practice, of literary preference and habit, of school organization, and of socioeconomic status. Obviously we wanted a method of content analysis that would apply to a great variety of responses, that would be critically sound and neutral, and that would be readily comprehensible. Obviously, too, the usual labels—Marxist, Aristotelian, Freudian, formalist—could be tags that would close communication rather than open it.

We needed some means of describing the process or the constituents of writing about literature, whether that writing be critical or subcritical. Instead of considering a theory of literature or one of the literary work, we had to consider the person who read the work and wrote about his reading. Richards was concerned with that reader and writer also, but his terms did not seem to be sufficiently specific or detailed, and they dealt more often with stumbling blocks than with procedures.

Without entering into a lengthy discussion of aesthetics, I should observe that the term "literature" or "literary work" refers to a verbal communication that is an expression of the imagination or the intellect of the artist and that seeks to arouse an aesthetic response through the admixture of its content and form. It is, therefore, an aesthetic symbol (cf. Albert Hofstadter, *Truth and Art*, New York: Columbia University Press, p. 184), and although in literature form and content are inseparable, people do separate them for the purpose of analyzing the content of writing *about* literature; therefore, one must, however reluctantly, perpetuate that separation.

A recent work, *A Handbook of Critical Approaches to Literature*,[3] does attempt this sort of description by showing how the following approaches to a novel, a play, a poem, and a short story might appear:

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[3]Wilfred L. Guerin, Earle G. Labor, Lee Morgan, John R. Willingham. (New York: Harper and Row, Publishers, 1966).

textual-linguistic, historical-biographical, moral-philosophical, formalistic, psychological, archetypal, and exponential (or typological). These categories, however, are not always distinct from each other and are not detailed enough for the analysis of essays. At the same time, they may allow the reader to categorize and dismiss an essay too easily. In an earlier study, James Squire deals with the constituents of response and creates seven categories (Literary Judgments, Interpretational Responses, Narrational Reactions, Associational Responses, Self-involvement, Prescriptive Judgments, and Miscellaneous)[4]. While these were close to what I needed, I found it necessary to go further than these broad categories and to see if I could avoid some of the overlap I sensed in Squire's categories.

A higher degree of discrimination would come if one turned to an inspection of the writer's [See footnote 6 on p. 5] counters or procedures. The procedures would be discrete operations, *elements* of writing about literature that an individual writer must draw from and combine in any number of ways in order to fashion his essay. These elements should include all the possibilities that lie open to the essay writer each time he confronts a literary work. Not all of them, of course, would he find valuable, but all would be available to him. Some the writer might ignore, some emphasize, some subordinate as he read a literary work and reported his reading. These elements are latent: they include not only those procedures that critics now term "critical" but also those which are subcritical and noncritical. Many do not think it is the writer's province, for instance, to rewrite the literary work, yet people do do this and great critics have done it. The elements must account for their doing it.

The Notion of Elements

I have specifically called the elements by that name to forestall two misconceptions: the first, that they are exhaustive; the second, that they are taxonomical. To the first, I should say that the elements describe what we have found so far in the course of our examination. Other elements may appear as we examine the work of more writers, particularly from cultures other than our own. The list of elements is based on wide reading in numerous critics from the time of Aristotle and in the writings of many students and teachers. They represent

[4]James R. Squire, *The Responses of Adolescents While Reading Four Short Stories*, NCTE Research Report No. 2 (Champaign, Ill.: National Council of Teachers of English, 1964).

what I consider the significantly discrete procedures used by writers, and although I realize that finer or coarser discriminations may be considered significant by others, I am satisfied that my own are serviceable for description and perhaps useful to the teacher besides. In naming the elements, I tried to avoid both facile pigeonholing and fussiness without leaving chances for essays to be merely labeled and dismissed. To call an essay "Marxist" is to close thought; to call it a "typological political essay" is to indicate its domain and the thinking of its author but not to stigmatize it. The essay on a literary work, no less than the work itself, should be able to be described without being dismissed. The elements, then, are intended to be used descriptively, and to show, by the coalescence of several elements in a single essay, how an essay writer functions.

That the elements are not taxonomical follows from the first point. The elements are grouped neither into hierarchies nor according to a single principle, but according to several principles: those of the posture of the writer and, within his posture, of varying relationships among elements. These relationships and the several principles they follow shall, I trust, become apparent to the reader. There is no formal arrangement of the elements from lower to higher, from simpler to more complex, from basic to decorative.

We have found the elements capable of describing the statements,[5] paragraphs, and essays of students, teachers, and critics in the United States, Great Britain, Germany, and Belgium. After brief training, a team of readers can assign an element number to every statement in an essay with a remarkably high degree of consistency. A figure showing the percentage of sentences in an essay devoted to each element gives an accurate, if statistical, picture of an essay; and this percentage, incorporated into a group mean, can give a more accurate picture of the typical approach of a number of students than could a subjective description.

The accuracy comes, I think, from the fact that the elements *describe* subject matter more than they *assert*, so that the reader is not seduced by the rightness or wrongness of an interpretation but

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[5]We have used the term *statement* because we considered it more precise than any other we have found. A statement, for our purposes, is roughly equivalent to a main clause or predication. For reliable scoring, an arbiter marked each essay off into numbered statements, and all readers abided by the arbiter's decision. Similarly, the arbiter marked the essays into paragraphs, which roughly coincided with the indentions on the student's paper, or, if the paper was in outline form, into the major divisions of the outline. The system has proved generally manageable.

can concentrate on how the student makes his interpretation. Even though the question of rightness and wrongness certainly is the concern of the teacher, a misinterpretation can best be corrected if the teacher knows the process by which it was derived. This idea is Richards' great contribution to the theory of this study.

The Categories

The first problem in our deliberations was that of how best to think of the elements. Student essays, teacher questionnaires, and letters from critics who were asked to sketch out a "grammar" of the possible approaches to a given literary work showed that generalizations such as those of mimesis, pragmatism, expression, morality, and organicism would not suffice. The reason is that those generalized terms usually deal with the production of the work not its criticism, or they refer to aesthetic theory rather than the practices of people writing about the literary work. An examination of the responses indicated that the best division might be one based on the postures the writer takes towards the work, for the problem seemed that of describing the relationships between the writer[6] (and his world) and the text (and literature). Besides Squire's, some formulations of such postures have been made, notably René Wellek and Austin Warren's intrinsic and extrinsic, R. S. Crane's inductive and deductive, and Murray Krieger's and Eliseo Vivas' contextualism.[7] For our purposes, however, those formulations present simultaneous problems of imprecision and incompleteness. Some are imprecise in that they overlap and occasionally make classification of essays debatable. Some are incomplete in that they do not adequately cover all writing about literature, although they might cover much.

If one considers the writer or audience and his relationship to the other three traditional "elements" of aesthetic theory--the *work*, the *universe*[8] of which the work treats, and the *artist* (including the

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[6]For consistency, *writer* refers to the writer of an essay about a literary work, *author* to the author of the literary work, and *reader* to the person scoring the essay.

[7]René Wellek and Austin Warren, *Theory of Literature* (New York: Harcourt, Brace & World, Inc., 1942); Ronald S. Crane, *The Languages of Criticism and the Structure of Poetry* (Toronto: University of Toronto Press, 1953); Murray Krieger, *The New Apologists for Poetry* (Bloomington: Indiana University Press, 1963); Eliseo Vivas, *The Artistic Transaction* (Columbus: Ohio State University Press, 1963). Cf. Meyer H. Abrams, *The Mirror and the Lamp* (New York: Oxford University Press, 1953).

[8]I use Meyer Abrams' term (*The Mirror and the Lamp*, p. 6) for the "existing things" from which the subject of the work derives. The universe may be thought

literary and historical context in which he operates[9])—one can see emerging four general relationships: the direct interacting of writer and work (including much of what hampers that interaction), the writer's viewing of the work and its author as objects, the writer's relating of the universe portrayed in the work to the universe as the writer conceives it to be, and the writer's judging of the work in relation to the artist, the universe, or the writer himself. These four relationships define the categories into which the elements fall.

Engagement-involvement, the first category, defines the various ways by which the writer indicates his surrender to the literary work, by which he informs his reader of the ways in which he has experienced the work or its various aspects. Often, engagement-involvement is the object of pedagogical disdain, since it can be highly subjective and unassailable by logic or even persuasion. Yet much excellent criticism can evolve from the writer's attempt to discuss his involvement with the work or his private reaction to it. Certainly that form of involvement that is the writer's assent to the work's existence, to the work as both literary event and literary fact, underlies all criticism.

The second category, *perception*, is almost self-explanatory: it encompasses the ways in which a person looks at the work as an object distinct from himself and, except that it is the product of an author about whom the writer might have knowledge, separate from the writer's consideration of the world around the writer. This perception (analogous to "understanding") is analytic, synthetic, or classificatory and deals with the work either in isolation or as an historical fact needing to be related to a context. If the perception is of the work in isolation, it may be of the work either as a self-enclosed entity or as the product of a craftsman. Thus, the writer may or may not refer to "the author" in talking about imagery or structure, for example, and in either case be doing the same thing as far as the elements are concerned—i.e., talking about imagery or structure. It seems a needless duplication to have two sets of parallel elements, one referring to such statements as "The work has a tripartite structure," the other to such statements as "The author has created a tripartite structure." Although it is interesting to distinguish between the two statements, one is never sure whether the difference

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of in a number of ways by different authors or by different writers considering the same work.

[9]This context may or may not coincide with the universe of the work. *Ivanhoe*'s universe is medieval England, Sir Walter Scott's context is Regency Scotland, and certainly his context influences his construction of his universe.

is a real distinction between two acts of perception or merely the result of some teacher's rhetorical shibboleth. It seems more productive to beg this question and to deal with others.

One other question about the elements of perception is whether or not they really refer to the actual work. When one speaks of a writer's noticing the rhythm of a poem, is one speaking of the rhythm apart from the writer's perception or of the rhythm as it is perceived? To avoid getting into an epistemological spider web and at the same time to allow the reader of an essay to classify a "wrong" statement (that a writer says a poem has five lines, when it has six), it is best to affirm that we are talking about perceived phenomena. Although the terms for the elements of perception might indicate that the elements refer to the phenomena themselves, these terms are used as a shorthand and always indicate the reported perception.

Once the writer has established the "otherness" of the work—that the work exists apart from the writer's experience of it—he may seek to connect it to the world he knows. Such a process I have called *interpretation,* the attempt to find meaning in the work, to generalize about it, to draw inferences from it, to find analogues to it in the universe that the writer inhabits. These analogues are often brought to the work from the world and resemble some of Richards' "stock responses" (other stock responses are related to engagement). The work is seen not as a literary object, or not purely as a literary object, but as a heterocosm that can be related to the world around the writer.

To clarify the distinction between perception and interpretation, the distinction between aesthetic object and aesthetic symbol may be useful. We can treat the work as if it were an object, observe its genus and differentiae, analyze its constituents, note its organization, and otherwise describe it as we think it is. This description is empirically verifiable—albeit within limits, because *das ding an sich* remains elusive. Interpretation, on the other hand, is a projective means[10] of grasping meaning. It may be seen as the intersection of the writer's world or experiences and the new experience that is the work. The writer cannot extract meaning from the work without reference to his prior experiences with words or their referents; he cannot approach the universe as portrayed in the work without recourse to the universe that he already knows. In a sense, therefore,

[10]See Hofstadter, p. 184 f.

every interpretation of a literary work is perforce unique, although there may be many common factors in a number of interpretations of the same work, enough certainly so that we can talk about a "basic meaning."

Interpretation can be either of the form or of the content. If it is of form, interpretation is the drawing of inference from a formal aspect of the work, which is to say that the formal aspect has significance beyond itself, or that it is a symbolic counter of some referent that may or may not be hinted at in the work. The significance of the referent may in fact be obvious to a great number of writers, but it is still not a part of the literary object; if only in the slightest degree, it must be adduced. If the interpretation is of the content, it can be as simple as the inferred generalization that is character analysis, for such generalization is based on a knowledge or a preconception about human nature. Generalization leads to more complex interpretations: that of seeing the work as imitative of the world, that of seeing the work as a distillation or abstraction from the world, and that of seeing the work as a medium of judgment or didacticism (perhaps the author's judgment or perhaps the writer's own judgment).

Evaluation, the last category, encompasses the statements about why the writer thinks the work good or bad. His judgment may be derived from either a personal or an objective criterion. The criteria define the elements. The order of elements in the category roughly parallels that in the other categories, for one's evaluation of a work is based on one's engagement-involvement, perception, or interpretation.

The four categories exist as the general framework of the elements, but they exist in no particular order of logic, psychology, or critical theory. In an essay and even in a writer's thought, any category may precede any other. That is to say, writing about one's engagement in a work may precede or follow from one's analytic perception or one's interpretation; one's judgment of a work may be instantaneous or may result from a rigid examination of the text. Further, a well-argued essay on a literary work may be largely devoted to one category or even a subcategory such as tone, the writer's impressions, or the derivation of symbols. The essay need not be a complete treatment of the work by the writer, but if it is well argued, it will be rhetorically effective and coherent.

CHAPTER II

SUMMARY OF THE ELEMENTS OF WRITING ABOUT A LITERARY WORK

Before defining the elements themselves, I should like to make a few general remarks. First, each element has been couched in language that aims at precision and neutrality. The terms are technical only where it seems necessary. Second, some of the general headings (those designated by capital letters) are not in themselves elements but groupings of elements. A glance at the code list of elements later in this report will show that the general headings are occasionally there included to cover the often unspecific statements of students. Third, many of the elements imply their negation: a writer who mentions the absence of imagery is, for purposes of this study, discussing imagery.

Fourth, some of the elements appear more specific than others; subject matter, for example, is not broken into content and theme, but metaphor is given a separate listing. This apparent disorder results from the fact that we have created separate elements for those matters which seem to occur frequently enough in discussions of a literary work to demand their separation from the next more inclusive element. Metaphor and irony are two such matters; other rhetorical and literary devices receive scattered attention from most writers. Certainly each element could be atomized, but for the practical purposes of analysis and teaching, such an operation is unnecessary. Granted, the elements are not adequate to a book like Davie's *Articulate Energy*, which delves into various aspects of poetic syntax, or Maud Bodkin's *Archetypal Patterns in Poetry*, but they need not be, for the analysis of this sort of work is not the aim of the elements. Anyone is free to subdivide the elements further. The groupings of the elements, finally, are my own, resulting from much discussion and much shuffling. The order, and even the existence, of some of the elements has been subjected to criticism and has now evolved into a series of groupings which are, I think, logical and defensible, although, like any ordering, arbitrary.

I. The Elements of Engagement-Involvement[1]

IA *Reaction to literature* is the writer's statement about his characteristic kind and degree of engagement. It is a statement about general stance and often introduces statements described by specific elements of engagement-involvement or perception.

A. In reading, I tend to look for something more interesting than whatever I could be watching on TV at the time.

B. Generally speaking, I don't like to read poems, especially not nature poems.

IA1 *Reaction to author* is a specific form of IA and, of course, involves knowledge of the author or his work.

A. I do not usually like Coleridge, but "Kubla Khan" was different.

B. Always in reading Joyce's stories I am filled with admiration for the man's great love for humanity, his erudition, and his wit.

IA2 *Assent* to the work refers to those statements in which the writer grants the work an existence that is different or separate from the writer's. It is the element of concession, the element that describes the writer's "willing suspension of disbelief" and, to a certain extent, his willingness to forego the sort of involvement that insists that the work is life. Assent is often stated negatively in the writer's refusal to accept the work or a part of it.

A. The poem is ridiculous for saying that "rosy-fingered dawn comes over the hill," because dawn has no hands, much less rosy fingers.

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[1]For scoring purposes, we have found it necessary to include general classifications for each of the categories. These classifications are used to describe those statements which are clearly in one of the four categories but are so general or contain a mixture of two or more elements in the category that they can be termed "Engagement General," "Perception General," "Style General," and "Interpretation General," or "Evaluation General." Examples of other general classifications appear under the appropriate heading; examples of these five follow:

Engagement General. I enjoyed the story as a whole but thought it should have another title.

Perception General. The story has six characters and several climaxes and many symbols.

Style General. The story has an identifiable style.

Interpretation General. I don't know what this story means.

Evaluation General. This is a good poem.

B. To appreciate Tolkien's novel, I had to forego my distaste for the supernatural; then I could read.

IA3 *Moral taste* refers to those statements about the morality of the work or of the author. Not a statement of evaluation, it compares the standards of the writer and the author on matters external to literature. It often bespeaks a refusal to assent to the work and accept its own terms. The term *moral taste* does not here refer to the use to which it is put when the writer describes his aesthetic predilections or aesthetic judgments. "The ending of *Huckleberry Finn* is in bad taste because it turns an Odyssey into a boy's romance" is an example of the latter (it would be a generic evaluation). "It is bad taste to describe the mating habits of man so graphically as does Mr. Lawrence" is an example of the taste defined by element IA3. When taste determines the writer's evaluation of the book, the statement would be an evaluation by the criterion of moral acceptability.

A. The novel occasionally hovers on the verge of being tasteless because of the author's clinical and descriptive approach to his subject matter.

B. With all the beautiful and fine things in this world, one would have been very appreciative had the author found something less intrinsically disgusting to write about.

IB *Reaction to form* is the expression of the writer's reaction to the way a work is written, as opposed to the content of the work. In critical terminology, this often appears as "impressionistic criticism," the attempt to transmute the received work of art into another work of art.

A. Slowly the poem filters into our consciousness, its images dissolving into our delight, its phrases being absorbed into the texture of our existence.

B. This poem is so flowery that it sometimes makes the reader want to sneeze.

IB1 *Re-creation of the effect of the work* often takes the form of metaphor; the writer seeks a personal, or occasionally an impersonal, analogue for a character, a line, or even the work as a whole.

A. The climax comes like a blow with a sledge hammer.
B. Hester Prynne stands forth in this novel like the Rock of Gibralter.
C. The poems in this volume seem to glow in the dark as we sense the writer's charging of words to their utmost.

IE2 *Word associations* constitutes a minor form of this type of re-creation, one in which the writer tells of his associations with a particular word. Often, the writer can be led by such associations to a bias towards or against the work. These associations are private associations, although they may follow from accepted connotations. Discussion of the latter would fall under the heading Diction (IIB1d).
A. The words of the title make me think of violence and coercion.
B. When I read a poem with the word "love" in it, I just get sick.

IB3 *Retelling the work in a form different from the author's* may be second-guessing; it may be the result of an internalizing of the work; or it may stem from dissatisfaction. In any case, it is not a judgment of the work itself but of the writer's experience with the work.
A. The story should have been called "Seymour spends a day at the beach."
B. If I had written the story, I wouldn't have made the ending so happy.

IC *Reaction to content* is the expression of the writer's reaction to the world of the work as if that world were not fictional.
A. I really enjoyed the battle scenes.
B. When Beth died, I thought my heart would break.

IC1 *Moral reaction to the characters or incidents* in the work is the most specific form of reaction, as well as a frequent form. Ranging from expression of simple like or dislike to an argued moral critique of the character which would rest on an interpretive analysis (IIIB3), the critique is always the writer's, not the author's or what the writer conceives to be the author's.

A. I think Huckleberry's behavior is disgraceful and disgusting.
B. The little girl shouldn't have stuck out her tongue at the nursemaid.

IC2 *Conjecture* stems from a refusal to accept the work as a self-contained phenomenon. The writer guesses about the past or the future—worries whether Hamlet will go to heaven, or what Lady Macbeth's childhood was. It is generally based not on the information in the text but on knowledge of the world at large. It differs from the interpretive inference (IIIB2) in this respect: the argument about Hamlet's future is based on belief in the Christian order and is really an argument about justifiable homicide; the discussion about Lady Macbeth might be a Freudian discussion based on the evidence of one sleepwalk. Opposed to this would be the interpretive inference about Hamlet's education given the knowledge of Renaissance education and the fact that Hamlet appears to be using his education in his soliloquies. A similar interpretive inference would be one about Macbeth's relationship to his wife, one garnered from their conversation. The difference between the two is that the interpretive inference stays as much as possible within the confines of the text; conjecture goes beyond those limits.

A. Mathilda must have had a very traumatic childhood.
B. I think that they will probably live happily ever after.

IC3 *Identification of the writer with the work* is the expression of the vicarious experience. The writer might say "I felt I was there" or otherwise express his submission to the world of the work.

A. I felt like the soldier, who didn't understand why the kid wanted to know about squalor either.
B. It seemed like I was right next to Fabrice on the battlefield.

IC3a *The relation of incidents to those in the writer's life* is a form of identification, which often leads to an autobiographical digression.

A. In my high school there was a boy very much like Holden.
B. I don't like doctors either.

II. The Elements of Perception

IIA *Citation of stance* refers to those statements that describe what the writer says he will look at in the work or thinks he should look at in it.

A. In examining this novel, I shall be mainly concerned with establishing its place in Smith's career and the place of his work in the mainstream of the American tradition.
B. In this paper we shall not be concerned with grammatical or syntactic aspects of Hopkins' verse.

IIA1 *Objective perception* refers to statements about the bare phenomenon of the work—its length, its divisions, its format, and the like.

A. The poem was first published in the *New Yorker* in 1953.
B. The book has been translated from the original Dutch.

IIA2 *Reading comprehension* is a "negative" element in that it usually applies to statements about lack of comprehension either of action or of language.

A. I didn't understand what happened to the girl.
B. Since I don't really know what "squalor" is, I didn't get the story "For Esmee with Love and Squalor."

IIB The *Perception of parts* may, perhaps, be thought of as literary analysis. It includes most of the analytic statements about the literary object. Certain interpretive statements are also of parts, but they are not distinctly analytic in that the writer bases his statements on his knowledge of the world outside of the work. The tangency of perceptual and interpretive analysis occurs in the writer's handling of symbol and symbolic form, metaphor, irony, and character. One should note that the first two subgroups below might be thought of as containing the elements "style" or "form" for which there are no general headings.

IIB1 The perception of the *Language* of a work is perception of the linguistic as opposed to the rhetorical aspects of the work.

Generally, the writer is examining these aspects of the work without regard to content save for the semantic aspects of diction.

A. In his late poems, Rilke consistently displays great linguistic inventiveness.
B. The rhythm and diction of Coleridge's "The Ancient Mariner" are consistent throughout the poem.

IIB1a *Morphology, typography, and transcription* includes the perception of odd devices of punctuation or printing, grammatical variation from a norm, and such matters as tense or mood of verbs.

A. The passive is used throughout the entire poem.
B. The author leaves out quotation marks.

IIB1b *Syntax and syntactic patterns* refers to sentence patterns, the ordering of sentences, and other stylistic devices which involve the linguistic fact (balance, periodicity, repetition, qualification, and the like).

A. Within the paragraph, the sentences grow shorter and shorter.
B. Pope consistently prefers coordination to subordination and keeps his couplets separate.

IIB1c *Sound and sound patterns* refers to the formal patterns of meter, rhyme, and versification and to cadence in prose as well as to alliteration, assonance, consonance, euphony, and other phonetic patterns.

A. In this story, the doctor's sentences become increasingly clipped.
B. The sonnet is regular in the octave, but in the sestet there are many anapestic substitutions.

IIB1d *Diction* involves the perception of semantic ambiguity as well as of word choice. The writer is dealing with the author's choice of words, not as they affect his attitude towards the work, but as they affect his understanding of it. Statements about cliché and usage would also be included.

A. The last words are highly ambiguous.

B. The diction is latinate up until the final couplet, where simple four-letter words are used for the poet's commentary.

IIB1d(1) *Etymology, lexicography, and dialect* is the element referring to statements about denotation and the history of the words.

A. Mark Twain uses several dialects in *Huckleberry Finn.*

B. The hero's name, Christopher, means, literally, "he who bears Christ," the suffix being derived from the Latin *ferre.*

IIB2 *Literary devices* might be considered a subset of language, but it seems that because they consist simultaneously of language and the referents of language, they should be isolated. They are also separated from the elements of IIC in that those elements describe the writer's discussion of literary devices in the context of the work as a whole; these describe the writer's identification of the device and his discussion of it in itself.

IIB2a *Rhetorical devices* includes the traditional figures except metaphor (below). As was mentioned earlier, a statement given this classification is one in which the writer points out the device and explains it but does not relate it to the work as a whole or interpret it.

A. The poem starts with a personification.

B. There is considerable hyperbole in the story.

IIB2a(1) *Metaphor and simile* includes any discussion of metaphor as a device, but not those statements in which the writer discusses "implied" or submerged metaphors. Although for schematic consistency metaphor might be included under the general heading, it is separate because so much writing about literature deals with metaphor that the tendency of an essay might

be lost were the statements or paragraphs to be treated as discussion of rhetorical devices.

A. The author compares the horizon to a belt and the window through which he is looking to a buckle which closes "the vast expanse of our vision."
B. There are no metaphors in the story.

IIB2b *Imagery* seems to be the best term to use for the writer's discussion of particularity in a literary work. Although the term has semantic problems, it seems better than one like "representation" or "metonymy" (Kenneth Burke's terms in *A Grammar of Motives*[2]), because it is the more commonly accepted term.

A. There is very little imagery; most of the references are to concepts.
B. Bird and flight images are frequent throughout the novel.

IIB2b(1) *Allusion* refers to the work's specific references to other literary works, history, or myth.

A. The name *Edward* in the ballad "Edward, Edward" is obviously not an allusion to Edward the Confessor.
B. The author frequently alludes to actual historical personages in describing his main characters.
C. The war to which the characters constantly refer is the Trojan War.

IIB2b(2) The term *Conventional symbols* refers to the perception of the common symbolic referents of a culture which, wherever they appear in that culture's literature, cannot be taken as anything but symbolic. Although the perception of these seems close to interpretation, one can distinguish the

[2](Cleveland, Ohio: World Publishing Company, Meridian Books, M1 43).

two as follows: Blake's Lamb, in "Little Lamb, Who Made Thee," cannot but be identified with Christ and the Christian; his Tyger, however, is a tiger; and although it can be interpreted as symbolic of divine power or Christ or truth, such interpretation must be supported by reference to the Blakean Cosmos, not to a tradition.

A. The dove which flies through the window in the reconciliation scene is manifestly the dove of grace.
B. The crown on the hero's tieclip symbolizes the fact that he is, in fact, the king.

IIB2c *Larger literary devices* includes dialogue, description, narration, melodrama, and those other devices that are not definitive of a genre but which describe parts of a work.

A. The opening chapters are largely devoted to description.
B. Dialogue alternates regularly with narration.

IIB2c(1) For the same reasons as for the separation of metaphor, *Irony* is separated from "Larger literary devices." It refers to the pointing out of verbal incongruities. It is debatable whether any irony is perceived, whether all is interpreted, but I think a distinction may be made between a statement about obvious disparities as in Swift's "A Modest Proposal" and a Popean couplet and those disparities which the writer must infer from only one given fact. The interpreted irony (IIIB1c) is that based on the writer's suspicion of the author, not on the conflict between values both of which are explicitly stated by the author. Irony, of course, is often a rhetorical device particularly in the juxtaposition of words. Few

writers, however, make the distinction between the irony in a phrase and that in a sonnet or a short story. It therefore seems more fruitful to place the element where it can refer to the larger aspects of a work and include the smaller ones.

A. The constant references to sight and blindness provide a running irony in *Oedipus Rex.*
B. In "Proud Maisie," the robin's references to the grave make an ironic contrast with Maisie's questions about marriage.

IIB2c(2) *Presentational elements* refers primarily to dramatic and oral presentation. It refers to the writer's discussion of the work as spectacle or recitation rather than to its strictly literary nature.

A. The second stanza would be read in a loud voice.
B. At this point in the action, three of the onstage characters are dead and the fourth is rapidly dying in the front of the stage.

IIB2c(3) *Perspective* refers to those statements which describe the physical viewpoint of the writer and generally use the language of the visual or cinematic arts (e.g., "angle of vision," "shift in focus," "close-up").

A. Twain shows the empty river first and then moves up closer and closer to the boat and the people on it, like an opening of a movie.
B. All the scenes are written as if the author were three feet high.

IIB3 *Content,* of course, includes the people, places, and actions of the literary work whether they be obvious as in a narra-

tive or a drama or somewhat obscure as in a lyric or meditative work.

IIB3a *Subject matter* refers to literal statements about content or theme.

A. The poem concerns the poet's experiences as he walks in the mountains.
B. The book is about a boy's growing up.

IIB3b The *Action* of a work refers to the writer's perception of the events of the work as the author has presented them and without any mention of their structure or order. The writer may quote, paraphrase, or summarize the action.

A. Then Holden says, "Ackley, get out of my room."
B. Then the poet tells us of the reasons for his loss of inspiration.

IIB3c The element of *Character identification and description* refers to the statements in which the writer simply tells who the characters are and describes them in the same terms in which they were presented, as well as to those statements which describe characterization (e.g., the distinction between flat and round characters). When the writer ascribes motives or seeks to analyze the character in psychological terms other than those given by the author, he is interpreting the character (IIIB3). Character identification refers also to the identification of speaker and audience, be they clearly defined as in a dramatic monologue or less clearly so as in the lyric.

A. The speaker of the poem is an old man who has seen a lot in his day.
B. The story is directed to an avidly listening group of parents and children.
C. The characters in the story are Rhoda Penmark and all her victims.
D. Yossarian is presented as the hero; the other characters are all types.

IIB3d *Character relationships* includes the discussion of static relationships between characters, primarily those of stance or attitude. When the writer describes those relationships as changing or dynamic, he is probably referring to action or plot.

A. Although Ishmael is somewhat appalled by his strange bedfellow, they become good friends.

B. At this point, the doctor and the girl are antagonists.

IIB3e *Setting or milieu* refers to the writer's perception of locale either in itself or in relation to the characters or action.

A. The story is set in a western mining town around 1900.

B. The scene of the poem is the poet's study as he remembers his past excursion.

IIC The term *Perception of the whole* is perhaps a loose one in that it includes elements which define statements that may not refer to the total work. The writer may, of course, refer to chapters or stanzas or even paragraphs, but the defining term seems clearer than such terms as "perception of relations," "complex perception," or "synthetic perception." These are perhaps precious terms, and terms which are less inclusive of the diverse elements that have been grouped together. Certainly perception of the whole is a complex act, but it seems to take three general forms: the perception of relationships, the perception of structure, and the perception of tone and point of view. All other discussion of the whole work is classificatory, interpretive, evaluative, or bespeaking engagement-involvement.

IIC1 *Relation of technique to content* is the term chosen for all those statements which relate the verbal, stylistic, or presentational means to the sense or effect of the work. It could also be called "rhetoric of the work." It differs from the interpretation of the means in that the writer does not say, "This device means X," but "This device is associated with X." The counterpart of this element in the interpretation of the work is the use of element IIIA2, the use of a part as a

key to the interpretation of the whole. It is possible, of course, for a writer to move across categories in building up relationships and in proving an interpretive point as in the sentence, "The symbolic force of the tiger as wrathful god is enhanced by the repetition of the word *tiger* in the first line of the poem." This sentence would be classified IIC1, but if the thought were reversed and the perceived repetition is itself first interpreted and then related to the more general interpretation (as in, "The repetition of the word *tiger* in line 1 shows us the wrathful aspect of the deity"), such a sentence would be classified IIIB1a.

A. Jonas' use of paradox reflects the confused situation in which he finds himself.

B. The use of a spondaic foot in the middle of the line emphasizes the phrase "My God" and the questioning tone of the poem.

IIC2 The perception of *Structure* is virtually self-explanatory in that it refers to those statements in which the writer describes the order of the work. He may, however, describe it in one of six ways.

IIC2a *Relation of parts to parts* refers to the author's fitting of detail—be it a linguistic or literary device or a detail of content—to other details.

A. Darnay's trip to France is parallel to Lorry's trip in the opening of the book.

B. The use of *lie* in the first line of the sonnet foreshadows the puns on *lie* in the final couplet.

IIC2b *Relation of parts to the whole* is similar to IIC2a except that the relation is to the total work.

A. The section in which she breaks his glasses has all of the conflicts which are in the rest of the story.

B. The third stanza is the climax of the ode.

IIC2c *Plot or structure* refers to the ordering of actions or of characters as they act, not simply the actions or characters in themselves. With fiction or drama, it refers often to structural devices like the story within the

story, the relation of prologue to play, and other structural devices. It also refers to the structure of poems, be it in formal or informal terms, in terms of division or organization. It may seem to some readers that all discussions of structure are interpretive, in that the writer is superimposing a structure. Yet more often than not, the writer is describing a pattern not fitting the work to some Procrustes' bed of form. When the writer does the latter, he may be either making a generic classification or putting the work into an allegorical framework.

A. As Lear goes down, Edmund goes up.
B. The poem moves from the despair of "Oh God" to the affirmation of "My God."
C. The story begins *in medias res.*
D. The end of the main story is abrupt, but then the final chapter provides the second side of the frame.

IIC2d The writer's description of *Gestalt* is the act by which he attempts to describe or characterize the whole work, often in terms of a metaphor from another medium ("it is circular," "it is a rondo").

A. The action describes a perfect tangent curve.
B. The poem is a sort of concerto with theme, variations, and recapitulation.

IIC2e *Allegorical structure* refers to the writer's description of those works like the beast fables or *Pilgrim's Progress* in which the allegorical level is readily available and overtly signalled. Many works signal an allegorical reading although the exact parallels are subject to debate. In such a case, like that of Kafka, the writer's observation of the allegorical nature of the work would be given this classification; the writer's particular reading, be it political, psychological, or archetypal, would be an act of interpretation.

A. The story is the kind in which the animals represent human characteristics.
B. K's struggle and capitulation before the law is certainly allegorical.

IIC2f *Logic* of the work refers to any treatment of the work or its parts in logical terms (syllogism, paradox, gathering of evidence, *inter alia*).

A. The poem is syllogistic: the first two stanzas give the premises, the last stanza the conclusion.

B. Paradox, ellipse, and *coincidentia oppositorum* are essential in this work.

IIC3 *Tone* is the most general term for those elements that describe the writer's discussion of tone, effect, mood, pace, and point of view. The first four of these seem less the expression of the writer's perception than of his subjective impression. However, critics who have long maintained the existence of these qualities as objective phenomena support their assertions about the tone of a work by reference to an assumption about the shared experience of an audience.

IIC3a *Description of tone* is in part the writer's establishing of the author's (or his speaker's) emotional attitude towards the material or towards the audience. The writer seeks to define an emotional state objectively. Included here would be discussions of the author's sincerity.

A. The speaker's tone is one of malevolence, mixed with the desire to mystify.

B. The writer is generally objective, but sometimes he is angry.

C. The poet does not seem to be sincere.

IIC3b Although it may seem out of place, *Effect* seems to be the most general term to use for all those instances in which the writer treats himself not as a private audience but as a part of the public. The effect he talks about is a generalized one, and it may be with reference to either his understanding or feeling about the work or its part.

A. The effect of the girl's biting the spatula is to make one reconsider her earlier actions.

B. This line brings the reader up sharp.

C. The repetition in the two halves of the sentence leads you to compare what is said in each half.

IIC3b(1) *Mood* refers to a specific effect that is related to the writer's general sense of the feeling arising from the work or a part of a work.

A. The work is pervaded by an eerie gloom.

B. The poem strikes one immediately as gay and sunny.

IIC3b(2) *Pace* also refers to the effect of the work, but it is the effect of a work as discourse, something that moves from beginning to end.

A. The story takes a relatively long time to get under way.

B. After that it is a fast-moving story.

IIC3c *Point of view or mask* is the literary (here both emotional and intellectual) vantage point of the author. One is tempted to say that point of view is intellectual attitude, but such a term is not quite sufficient. "Mask" refers, of course, to the literary use by the author of his speaker and operates on the assumption that the two are different entities.

A. The narrator is omniscient.

B. The poet is objective towards his material; no condemnation intrudes.

C. I don't think Swift agrees with Gulliver all the time.

IIC3c(1) *Illusion and aesthetic distance* describes the relationship between the author and his text. A variety of point of view, I think, it is the specific point of view of the author to the object he is creating or has created.

A. Pirandello carefully creates a dramatic

illusion which he then as carefully destroys.

B. The stylization of the characters' speech and motion contributes to the creation of the dramatic illusion.

IIC3d The term *Orientation* applies to those statements which describe the perception in the work or of the author. A writer, for instance, may refer to the fact that an author works primarily in terms of the visual world. The orientation the writer is describing is the sum of the work's diction or imagery.

A. The author is visually oriented; there is no sound, or smell.

B. The author seems to see everything in terms of blood and fire.

IIC3d(1) *Image patterns* refers simply to the writer's discussion of recurrent images (IIB2b) or combinations of images. Such discussion may lead to a discussion of orientation.

A. Light imagery alternates with the imagery of shadows and darkness.

B. All the images refer to blood or the color red.

IID *Literary classification* refers to those acts which show the writer to be seeing the work either as a part of a larger entity called literature or as the product of an individual who lived, wrote, and thought at a specific time. Classification is, I think, different from interpretation, although in both cases the writer is making connections between the individual work and other known entities, because when the writer is classifying, he is doing so in the specific context of his knowledge of literary facts not in the more general context of his conceptions of the world in which he lives.

IID1 *Generic classification* refers to the writer's categorizing the work by genre or type. It also refers to the typing of parts of the work by literary convention or of marking similarities

and differences between the work and other works of the same genre.

A. The novel is a comedy of errors, and the characters are the stock characters of Roman comedy.
B. This is a boy-meets-girl story.
C. The poem is a satire just like *The Rape of the Lock.*

IID1a *Classification by convention* refers to the act of defining the work or, more usually, its parts by a literary commonplace or rhetorical *topos* (e.g., "carpe diem").

A. The story is a good example of the *memento mori* theme.
B. The ivy growing around the trunk of the elm is an image used by authors for a long time.

IID2 Different from generic classification is *Traditional classification* which locates the work as a point on a literary continuum, not simply as a member of a species. The writer, of course, may go on to show when the work deviates from the tradition. This element also refers to the placing of the work in a literary school.

A. It is a Gothic novel.
B. Although the poem seems quite unlike most sonnets because of its typography, there are traces of the tradition throughout.

IID2a *Interpretive tradition* refers to the classification of the work on a continuum of meaning, rather than classification of form or content. Generally, the meaning is broadly characterized ("social protest," "psychological exploration"). This element would also cover statements that related a work interpreted archetypically to other works dealing with the same archetype.

A. This story is basically a social study.
B. The play is not one of intrigue and action but a work of psychological analysis.

IID2b *Critical dictum* is the act of relating a work to some critical formulation, like Aristotle's "definition" of tragedy.

A. In Schiller's terminology, it is a "naive" rather than a "sentimental" poem.
B. The play observes two of the three unities.
C. The play corresponds to the Horatian dictum that a work should please and instruct.

IID3 This group of elements describes the various ways by which the writer sees the work in the *Context* of biography or of history, particularly cultural and intellectual history. By this I mean that he is talking not about the work, but about its production. In a sense, he is writing more about the author than about the work itself, for, when he is writing about the latter, he is generally making interpretive assertions.

IID3a Classification of the work in the context of the *Author's canon* is the placement within a canon and the relationship among works (or parts of works) in that canon. If the writer is dealing with an excerpt, this element would describe his statements about the relationship of the excerpt and the whole work.

A. Salinger usually writes about the Glass family, and *Seymour—An Introduction* is no exception.
B. The concern for problems of reconciliation—talent with life, thought with action, life with living—is typical of Goethe's works.
C. This new story represents a radical departure from the author's previous works.

IID3a(1) Classification of the work may turn into the act of *Textual* discussion, with assertions as to what a word should be.

A. The critical edition lists three variants for the one character's name, and we shall stabilize on the first.
B. For "piscine" in line 3, we shall read "fishy," which is in fact more in keeping with the tone of the poem and which is penciled in the margin of an archive copy of the Ms. in the author's hand.

IID3b *Biographical classification* refers to all statements in which the writer relates the work or its parts to the author's life.

A. The author writes, in thinly disguised form, of his own experiences in the Navy.
B. The author of this doctor story was in real life a pediatrician.

IID3c *Intentional classification* refers to any discussion of the author's avowed intention and its relation to the work (cf. Wimsatt and Beardsley, "The Intentional Fallacy" in *The Verbal Icon*,[3] in which the difference between this element and IIIB5 is discussed).

A. As he says in the Second Preface, Jones intended this book as a warning to the glib and a balm to the inarticulate.
B. The author is trying to puzzle and mystify the reader.
C. Jarry wanted to *épater le bourgeois*.

IID3d This element is a bit broader than the three preceding, for the classification is in terms of the *Historical* setting of the composition of the work (not the setting in the work). The writer may relate the work to events at the time of the work's creation or to reactions to those events, or to a discussion of the original or subsequent audiences (not the audience of which the writer is a part).

A. Zola wrote this novel in reaction to the Dreyfus affair.
B. This work is the product of the Industrial Revolution.
C. The original audience at Jarry's *Ubu Roi* was indeed scandalized.

IID3e This element is similar to the preceding, but it is a classification in terms of *Intellectual history*, the history of ideas, or a philosophic or religious outlook held

[3]William K. Wimsatt, Jr., *The Verbal Icon* (Lexington: University of Kentucky Press; also New York: Farrar, Straus & Giroux, Inc., Noonday Press, N 123).

by the author. It includes a discussion of the acknowledged or unacknowledged influences on the work.

A. The work may be described as the summation of the author's earlier ideas on conscientious objection and passive resistance.
B. Underlying the work is the author's resistance to accepting the consequences of the Sartrean view.
C. *In Memoriam* seems to anticipate the impact of Darwinism.

IID3e(1) *Sources* refers to the discussion of both literary and nonliterary written sources: histories, earlier forms of the work, treatises from which ideas or themes might have come.

A. Much of the dialogue of *The Deputy* was taken verbatim from records of the actual court proceedings.
B. The poem is a modern version of *Paradise Lost.*
C. Goethe's "Roslein" shows the influence of Herder's collection of folk poetry.

III. The Elements of Interpretation

These elements are divided into two groups, the first of which contains elements referring to those operations in which the writer relates parts of the work to his conception or knowledge of the world. These are ways by which he invests meaning in the work; the second group contains those elements which then define the type of meaning the writer has found. It may be that in a single paragraph, and possibly in a single statement, both the ways and the types will occur, but most readers seem to be able to decide which of the two has received the greater emphasis (generally emphasis can be determined through scanning the writer's predication).

IIIA *Citation of interpretive stance* describes those statements in which the writer indicates the inferences he usually draws from a literary work or otherwise describes his interpretive *modus operandi.*

A. When I read a poem, I always look for hidden meanings.
B. It is best to examine a story for its moral significance.

IIIA1 *Interpretive context* refers to the writer's description of the world to which he is comparing the work. If, for instance, he is going to talk about the political implications of the work, he might define the political universe of which he will treat.

A. The psychological scheme I am going to use is that of Freud.
B. Society is made up of the rulers and the ruled.

IIIA2 The use of a *Part as key to the interpretation of the whole* has been mentioned in the discussion of IIC2b and refers to the selection of a detail of content or form as support for an interpretation or as evidence for an interpretation. The element, in effect, describes the nexus between perception and interpretation.

A. The last stanza provides an answer to all the questions of meaning raised in the poem.
B. In the confrontation of Hamlet and his mother, we see all the psychological forces come into sharp focus.
C. The scene in which she breaks his glasses most clearly shows the victory of her emotion over his rationalism.

IIIB *Interpretation of parts* we have used as a general term rather than "tactics of interpretation" or "means of interpretation" because although the last two are accurate enough, the first seems most inclusive. Its corresponding term *Interpretation of the whole* is slightly misleading, because the writer may use one of these elements in referring to only a chapter, section, or stanza. More often, however, he discusses the work as a whole.

IIIB1 *Interpretation of style* refers to those statements in which the writer ascribes meaning to a stylistic device, often to describe the psychological state of the person who would use such a device, or to relate that device to a particular *weltanschauung*.

A. The use of feminine endings reflects the general laxness

of the poet and his revolt against the strictness of eighteenth century prosody.

B. Dickens' highly metaphoric style in this scene shows his disdain for the sort of rationalism represented by Gradgrind.

IIIB1a When the writer derives *Symbolic value from stylistic devices,* he is in part relating form to content, but he is doing more: he is saying the form has content (cf. *inter alia,* Suzanne Langer, *Philosophy in a New Key*[4]). This element is close to rhetorical analysis on the one hand and to impressionism on the other. Its differences from those two can best be delineated by an example of metrical analysis. To say that the sound of a line echoes the sense is to speak of its rhetoric; to say that the sound is happy is to give one's impression of the line; to say that the line's sound typifies the despair of the speaker is to give it symbolic value. The first is a statement of relationship, the second of effect, and the third of meaning.

A. The lack of a period shows the poet's refusal to terminate the experience he is undergoing.

B. The character never uses a verb in his conversation, and the author uses this as a symbol of his lack of vigor.

IIIB1b *Inferred metaphor* differs from perceived metaphor —IIB2a(1)—in that it refers to the writer's statement that a part of the work (or the work) is the vehicle of a metaphor the tenor of which is not presented in the work (cf. I. A. Richards, *The Philosophy of Rhetoric*[5]).

A. The voyage is to be seen as a metaphor of the poet's self-exploration.

B. There is a submerged metaphor in the *Troilus and Cressida;* the references to disease seem to

[4](New York: New American Library of World Literature, Inc., MT 635).
[5](New York: Oxford University Press, Galaxy Books, GB 131).

describe implicitly the moral state of the Greeks and Trojans.

IIIB1b(1) The *Inferred allusion* is close to both the inferred metaphor and the inferred symbol, but it is different from the metaphor in that it is a specific comparison with another literary work, historical event, or a myth or legend. It differs from the derived symbol in that the writer does not assign symbolic value to the allusion. Of course, he may do so in a subsequent statement.

A. The name, "Edward, Edward," in the poem seems to be an allusion to Oedipus.

B. Although he does not so state, Orwell uses the pigs in *Animal Farm* to refer, I think, to the Gadarene swine.

IIIB1c *Inferred irony* has also been discussed; it refers to the writer's taking a part of the work to mean other than what it says based on evidence which gives only the statement. It also refers to most statements which deal with thematic ironies (e.g., cosmic irony).

A. We can guess that Pope's description of Belinda is ironic.

B. The moral given by the Mariner is ironic, for though he can tell what has happened to him, he does not really understand its meaning and can only come up with an inappropriate moral tag.

IIIB1d The *Derivation of specific symbols,* too, has already been defined [see IIB2b(2)] as that act by which the writer invests some object, image, or person with typological significance, which is not the

traditional significance of the culture from which the work came.

A. In "The Rime of the Ancient Mariner," the moon becomes a symbol of the imagination.
B. The Mississippi River becomes, in *Huckleberry Finn,* a symbol of the nature-god.

IIIB1e *Inferred logic* refers primarily to those instances in which the writer assumes a logical relationship or disjunction to occur. It is particularly apparent when the writer discusses a paradox of which one half is not present in the work.

A. Keats has created a paradox: he wants to be as one with the nightingale, but we can tell that he knows he cannot be.
B. When he pretends to be Tom, Huck's situation seems paradoxical.

IIIB2 *Inference about the past or present* in the work has been mentioned in the discussion of conjecture. It may be used to describe those statements in which the writer does not move beyond the facts given in the text.

A. Claudius undoubtedly *did* kill Hamlet's father.
B. Although he hides it, Dr. Manette probably knew very early who Charles Darnay was.

IIIB3 *Character analysis* refers to all those statements in which the writer discusses motivation or makes generalizations about the character (without editorializing) or in any way moves beyond description. One might say that it refers to statements in which the writer relates the character to his observations about human nature—not to himself, to people he knows, or to personal standards.

A. The girl can be described as having the stubbornness that comes from fear.
B. Lear grows from a petty, foolish king to a humble human being.

IIIB4 *Inference about setting* refers to those statements which

seek to establish the locale of the work from clues presented in the work itself.

A. From the few details we have, the story must have taken place at the turn of the century.

B. The way these people talk and the fact that they all seem to live in the kitchen make me think that they lived in a poor-class neighborhood.

IIIB5 *Inference about author* refers primarily to statements about intention and his relationship to his audience that are drawn from a reading of the text and other material but are not supported by the objective evidence that would characterize intentional classification.

A. Shakespeare must have known that his audience expected to see Cressida as a wanton, for that is how he presented her.

B. We can guess that Crane knew people who had been in the Civil War.

C. I think Tennyson had Dante in mind when he wrote "Ulysses."

IIIC *Interpretation of the whole* is divided into three parts, each one of which is subdivided into elements which are often complementary across the three subdivisions. Varying from the practice so far, I shall define the elements of IIIC1, and then speak of IIIC2 and IIIC3 only in terms of their differences from IIIC1. This method will be, I trust, less tedious for the reader.

IIIC1 *Mimetic interpretation* refers to those modes of interpretation in which the writer sees the work as a mirror of the world either generally or in one of six specific ways. In effect, the writer says, "This is the way the world is." He sees the work as a heterocosm, another world to be connected to the one he knows from either his experience or his reading.

A. This story is about both a doctor and his patient and a man and his idea.

B. The poem shows us the world of the poet.

IIIC1a If a writer engages in *Psychological mimetic interpretation,* he is positing that the work mirrors the mind of man or of a group in any way and sees any conflict in the work as a mental one. As far as the elements are concerned, the particular psychological scheme is unimportant, and the term is here applied in its most general sense.

A. The novel shows us the growth in a person's understanding of himself.
B. Coleridge tells of the mental torments of a man.

IIIC1b The *Social mimetic interpretation* is one which refers to a world seen as the interaction of types of people, classes, groups or cultures, and of the individual and one of these social forces.

A. In *Hard Times* Dickens shows the impact of a constraining society on its members.
B. In *Heart of Darkness* we see a civilized man confronting the primitive world, and losing.

IIIC1c Differing from the preceding element is the *Political mimetic interpretation,* in which the interaction is of political forces, nations, or ideologies. It also includes the interpretation which deals with an individual and the kind of state in which he lives.

A. *A Tale of Two Cities* shows how an oppressive autocracy creates its own distinction.
B. Kafka's *The Trial* is about the individual caught in a system he did not create and which does not care for him.

IIIC1d The *Historical mimetic interpretation* refers to a world seen at a specific time in the past.

A. The tale of M. the Marquis in *A Tale of Two Cities* is a summary of the life of the peasant before the French Revolution.
B. Wordsworth's *Prelude* tells us what it was like to be a country boy in the late eighteenth century.

IIIC1e *Ethical* or *Theological mimetic interpretation* perhaps seems a strange yoking; yet we have found that they appear in close conjunction. The writer sees the world and the work as made up of moral forces or positions, and he often shades these off into theological forces. The work, he says, imitates ethical or theological dilemmas.

A. *Candide* shows us what happens to a rationalist when confronted with evil.
B. The story is about the problems a man faces when presented with the choice of love or honor.
C. The poem describes a man's finding of grace through his own work.

IIIC1f Seemingly redundant, the *Aesthetic mimetic interpretation* is one in which the writer says the work of art is imitating or talking about the way the artist works. It is perhaps a rather special interpretive mode, but it does occur. An aesthetic interpretation would also be one that discusses the fact that the work has meaning as an aesthetic experiment. This is an interpretation which might follow from a classification of the work (or a failure to classify it).

A. George in *Who's Afraid of Virginia Woolf?* is a writer, an artist, and the play is about the illusions an artist creates.
B. The poet is telling us about the way he makes a poem while he is in the process of making it.

IIIC2 The term *Typological interpretation* is used for all interpretive statements imputing that the work is not simply a mirror, but a presentation of a highly generalized or abstract pattern of the world. The writer says not "This is the ways things are," but "This is typical of a certain class of things." The work becomes metaphoric, symbolic, or allegorical in presenting a particular pattern of existence. One of the simpler distinctions between mimetic and typological interpretations is that between the articles *a*

and *the*. The former is often an index of the mimetic, the latter of the typological. "The work shows a struggle between an intelligent man and an ignorant child" would be mimetic; "The work shows the struggle between the intelligent man and the ignorant child" is typifying the work and is close to "The work shows the struggle between intelligence and ignorance."

A. This poem seems to be an allegory of something.
B. The story tells of how innocence comes to grips with an uncompromising reality: social, moral, and political.

IIIC2a *Typological psychological interpretation*

A. Huck, having rejected his own father, finds a symbolic father in Jim.
B. "The Ancient Mariner" is about the mental retribution that follows from a crime against the heart.
C. Blake's "Garden of Love" presents the helplessness of the id in the face of the superego.

IIIC2b *Typological social interpretation*

A. *The Scarlet Letter* is a novel about the struggle of Puritan society and the free individual.
B. Kurtz's story is that of civilization destroyed by the savage impulse.

IIIC2c *Typological political interpretation*

A. Dickens shows us the confrontation of the autocrat and the peasant.
B. Orwell's novel is, of course, an allegory of the loss of individual liberty in the totalitarian state.

IIIC2d *Historical typological interpretation* refers less to discrete historical events than to historical patterns like the fall of empires or westward expansion.

A. This story is obviously allegorical, the doctor is the United States, the girl the underdeveloped nations.

B. *Animal Farm* describes the necessary cycle of democracy's fall to totalitarianism.

IIIC2e If a writer undertakes a *Philosophical typological interpretation*, he is apt to see the work as dealing with a particular philosophic system, or with characters as representing the parts of a philosophic problem.

A. Wordsworth's "Ode" is Platonic.
B. In *The Magic Mountain* we see the conflict of philosophical systems at the beginning of this century.

IIIC2f *Ethical-Theological typological interpretation*

A. The novel is a study in good and evil.
B. The poem shows how belief grows from skepticism.
C. The *Prelude* reproduces, in personal form, the Fall of Man.

IIIC2g *Aesthetic typological interpretation*

A. Kubla Khan is the poet and his pleasure dome is the poem.
B. Prospero is the artist who must necessarily return from the world of his art to the real world.

IIIC2h The *Archetypal typological interpretation* is necessarily one in which the writer sees the work as symbolic or allegorical with respect to some recurrent pattern such as fertility, the harvest, or the death of the god.

A. "The Ancient Mariner" presents the theme of death and rebirth, although the mariner does not really die.
B. *Huckleberry Finn* may be seen as combining elements of the Grail myth and of all other quest epics.

IIIC3 *Hortatory interpretation* may seem a pejorative term but is not meant as such. The writer sees the work as a statement

of what should be and sees the author as overtly or covertly hortatory. It applies, of course, to those interpretations that see the author as critical of what he portrays.

A. The author is trying to teach us a lesson, I think.
B. The poem has no moral.

IIIC3a *Psychological hortatory interpretation*

A. Blake tells us not to let our egos be repressed.
B. William Carlos Williams shows us how a man should behave in the face of something he cannot control rationally.

IIIC3b *Social hortatory interpretation*

A. In *Hard Times* Dickens shows us the evil in the business society.
B. Conrad wants us to learn that civilization is only a veneer.

IIIC3c *Political hortatory interpretation*

A. Dickens shows us that revolution may bring about evil as bad as those against which it is fighting.
B. The story urges us to beware the inroads of Fascism.

IIIC3d *Historical hortatory interpretation*

A. Kafka shows us how the Romans should have behaved when the barbarians invaded.
B. Dickens is criticizing both the aristocracy and the bourgeoisie at the time of the Revolution.

IIIC3e *Ethical-Theological hortatory interpretation*

A. The poem is a serious questioning of the justice of God.
B. The story warns of the consequences of greed and pride.

IIIC3f *Philosophical hortatory interpretation*

A. Mann, in *The Magic Mountain,* shows the futility of any philosophic system.

B. The poem is a defense of the Aristotelian mean.

IIIC3g *Aesthetic hortatory interpretation*

A. Joyce, through Stephen, tells us of his ideal artist.

B. In "The Nightingale," Coleridge attacks the insincere poet.

IV. The Elements of Evaluation

These elements are cast in the form of criteria, either for a subjective or objective appraisal of the work.

IVA *Citation of criteria* refers to statements defining the criteria without reference to the work.

A. These are good poems—clear, intimate and living. This is just another way of saying "simple, sensuous and passionate"—which, I think we were once taught, is what really good poetry must always be.

B. A good novel should deal with serious issues.

IVB *Affective evaluation* uses the criterion of emotional appeal. The work succeeds or fails either in moving the writer, or in presenting its dominant emotion with sufficient intensity.

A. The story is singularly stultifying.

B. "A Snake of One's Own" is a beautiful and moving story.

C. A fascinating and gripping book.

IVC *Evaluation of the author's method* refers to the various criteria by which the writer judges the way in which the work is created. These are the aesthetic criteria.

IVC1 *Formal evaluation* uses the criterion of aesthetic order. The work may or may not fulfill its function, succeed or not to use all of its parts coherently like a good ballet. Often the untrained writer will say that he does not "like the looks" of the work; this, too, expresses a formal criterion, albeit weakly.

A. Despite its length, the novel holds together well.

B. The author has succeeded in connecting each incident to every other.

IVC2 *Rhetorical evaluation* uses the criterion of effective use of form or of adequacy of parts to the whole as perceived or interpreted.

A. Its various stylistic virtuosities contribute little if anything to the meaning of effect of this book.

B. The alternation between enjambment and end-stopped lines neatly underscores the speaker's vacillation between enthusiasm and caution.

IVC2a *Typological rhetoric* is one of the rhetoric of symbols: the writer might see the work as reaching for a symbolic structure and succeeding or failing in achieving it.

A. In *Huckleberry Finn,* Mark Twain begins by creating a symbolic structure but fails in not following it up.

B. He works out a good allegory.

IVC3 *Generic evaluation* uses as its criterion the abstract notion of genre. A simple example is the writer who says, "It's a bad poem; it does not rhyme."

A. The poem is good blank verse because its rhythm is regular.

B. This is a poor play because the author gets his characters on stage and then forgets to get them off.

IVC4 *Traditional evaluation* uses a criterion akin to that of genre, but less rigid; it judges the work according to the history of its type in form or content. Its criterion, then, is flexible, since tradition is, within limits, continually modified.

A. The novel almost fails because the author has moved outside the main stream of fiction writing.

B. The sonnet is skillful in bending the traditional form without breaking it.

IVC4a *Originality* is an aspect of the traditional evaluation that deserves separate treatment if only for the fact that as a criterion it does not have to refer to a tradition, but is antitraditional, as were many

of the judgments of Young and Hurd in the eighteenth century

A. The poem is trite and hackneyed.
B. The author has succeeded in writing a "different" novel.

IVC5 *Intentional evaluation* uses the criterion of the author's expressed or inferred intention.

A. In this book the author sets out to blast American capitalism, and indeed he does.
B. If we were to measure the work by its manifesto, we should find it barely recognizable and sorely lacking.

IVC6 *Multifariousness* is the criterion of levels. The writer asks of literature that it be interpreted in many ways and judges the work accordingly.

A. This story will undoubtedly challenge perceptive critics for generations to come.
B. The *Divine Comedy* is great because it can be read on so many levels.

IVD Evaluation of the *Author's vision* refers to those criteria which judge the sufficiency of what the work is presenting.

IVD1 *Mimetic plausibility* is the criterion of surface credibility, or, on another level, of the ability of the author to create a world to which the writer can relate himself.

A. This story is easily and immediately believable.
B. In the person of Richard, the author presents us a child too glib and serious for credibility.
C. If life were as bleak as the author presents it, we would all be too busy preserving ourselves to read novels such as this.

IVD2 *Imagination* is the term, often loosely used, referring most specifically to a judgment of the ability of the author to transmute experience and to make the work both stimulating and credible.

A. The story fails because the author does not get above his material but remains bogged down in the day-to-day story of his hero.
B. The value of the poem lies in its creation of an experience that is vibrant and alive.

IVD3 *Thematic importance* is the criterion of seriousness. It asks of the work that it have an import equal to the writer's set of values. It differs from IVD1 in that it asks, "Does the author represent a world worth my attention?" and IVD1 asks, "Does the author represent a world in which I can believe?"
A. The work is an example of much ado about nothing.
B. The theme is too weighty for this brief poem.
C. The story is trivial and pointless.

IVD3a *Sincerity* is like thematic importance in some ways, but it borders on the affective evaluation and arises both from interpretation and engagement. As a criterion it asks that the author's point of view coincide with the writer's own.
A. It is a good novel because it is written with conviction.
B. We cannot trust a poem that toys with sentiment.

IVD4 *Symbolic appropriateness* is the criterion of congruence of patterns. It asks of the work that its abstraction of the world accord with the writer's abstraction.
A. On its most basic level, the story presents a convincing analogue of the human condition.
B. The writer asks us to see the world as a struggle of religion and science, but that is too simple.

IVD5 *Moral significance* is the criterion of lessons. "Has the work taught me anything?"
A. The novel is worthwhile, for it does not tell us how to live, but what life is.
B. The poem lacks any capacity to enlarge our understanding.

IVD6 *Moral acceptability* is the criterion of good lessons. "Has the work taught what I consider morally correct?" Under this category would come the evaluative statements of taste.

A. As this book teaches that adults are scared, self-righteous and narrow-minded dictators, I, as an adult, firmly declare it unfit reading matter for children.

B. The author wrongly, I think, implies that there is no other way to personal integrity but to dynamite housing developments which offend one's right eye.

V. Miscellaneous Statements

There are, of course, many statements or paragraphs in an essay on a literary work that are not elements of writing about a literary work. Rather than put all of them in a dust bin, we have created definitions for the most common:

VA *Divergent response* is for the essay or its part which attacks the question, writes about the weather, or writes a poem rather than deal directly with the work.

A. It is too nice a day to write a paper.

B. This is a good class because I like you, Miss Swain.

VB *Rhetorical filler* describes statements about what the writer will do or has done.

A. And now to the story.

B. Thus I have described the work as I see it.

VC *Reference to other writers on literature* describes statements about critics and other secondary sources.

A. Trilling's position on *Huckleberry Finn* is different.

B. I believe that Mr. Leavis is correct in relegating this work to the dust bin.

VD *Comparison with other works* takes many forms and may be actually defined by any element, but because our analysis is concerned with the writer and one work, we find it necessary to put comparative statements to one side.

A. Hawthorne treats the theme differently [from a paper on *Billy Budd*].

B. Coleridge wrote a poem similar to this one.

VE *Digression* often follows a classificatory statement and dilates on the author or his times. It may also follow other types of statements.

A. William Wordsworth was married that summer [from a paper on "Resolution and Independence"].
B. Imagery is what makes you see things.

VF *Unclassifiable* is the statement that makes no sense.

A. The content enhances the subject matter.
B. The people in this story are the characters.

Like any table of elements, this one is only nearly complete; content analysis of more essays may show, for instance, that there is another type of mimetic interpretation, although at this moment I cannot guess what it is. Despite these possible revisions, the elements, I think, are able to do their jobs, the first of which is to provide a basis for content analysis of student essays, the second to aid the teacher. We have already seen that they can work, and in what ways they might work. The fruits of the first trial analysis appear in Chapter III.

CHAPTER III

USES IN RESEARCH

The elements of writing about a literary work are intended to open discussion among those who do research in the history of ideas or in literary education and among those who would describe curricula in literature. As closely as possible, the elements serve as a schema of that multifaceted activity, response to literature. Intended to discriminate both theoretically and practically, they err on the side of overdiscrimination, but at this point overdiscrimination is necessary. Others may wish to reduce these discriminations for their own purposes, and they are free to do so, just as they are free to expand them if expansion is warranted. In either case, because some guidelines for the use of the elements in research should be set forth, such guidelines follow.

The Scoring of Essays

"The Practical Reader" (Appendix A) presents what we have found to be the best means of scoring: the coding of each statement and of the essay as a whole. We have found it best to have three independent readings of each paper and to record the code number of every statement on which at least two readers agree. In a pilot study with 300 essays by students aged thirteen and seventeen from the United States, Great Britain, Belgium, and Germany we found that two out of three readers agreed on close to 90 percent of the statements. All of the readers had bachelor's degrees (all but one in literature), three were in graduate school, and two had doctorates. Of the six readers, three—the present authors and Dr. Foshay—had worked on developing the elements; the others had four to six hours' training and two hours' practice. The readers never discussed the essays until after the scoring was over. Each team of three dealt with about 2,000 statements, and the two-way agreements ranged from 76 percent to 92 percent; the three-way agreements from 35 percent to 40 percent. Chance estimates for two-way agreements are about 4 percent, for

three-way agreements .02 percent, so that our results were good. The least reliable team was that with the least practice, but their agreement was highly significant. Nevertheless the 10 percent of unagreed-upon statements indicates that 10 percent of the statements are lost (an average of one statement in every 30-minute essay). Because the scoring is classificatory, factor analysis cannot be used to pinpoint and reduce disagreement among raters.

Since this scoring has been done, however, we have refined the elements somewhat, particularly those elements about which readers were uneasy. These refinements have resulted in improved scoring agreement (based on small studies two readers agreed on the subcategory of 70 percent of some 1,200 statements, and on the category of 90 percent). We feel certain that a reader can be brought to a point of self-assurance in using the elements with about eight hours' practice. I suspect that most researchers will find eight hours a reasonable time in which to become familiar with the elements, although rechecking of readers is necessary if only because this kind of analysis is not as simple a system as the semantic differential.

We have also found that, for the purposes of a large-scale study, scoring by element is somewhat unwieldy in that the data generated are more than we need for the description of groups. Because scoring by category does not provide sufficient distinction, we devised a compromise: we use subcategories as the scoring unit, with each subcategory including the elements that fall within it. We also use the five general classifications for vague statements. The subcategories that we have chosen are Engagement General, Reaction to Literature, Reaction to Form, Reaction to Content, Perception General, Language, Literary Devices, Content, Relation of Technique to Content, Structure, Tone, Generic and Traditional Classification, Contextual Classification, Interpretation General, Interpretation of Style, Interpretation of Content, Mimetic Interpretation, Typological Interpretation, Hortatory Interpretation, Evaluation General, Affective Evaluation, Evaluation of Method, Evaluation of Author's Vision, and Miscellaneous. The code numbers for these subcategories as well as for the elements themselves appear in Appendix B.

Reporting by Element

Once we score the writing, we must decide how to report it. On our pilot study we derived only raw counts of the number of sentences devoted to each element within a population. Such a method gives a

false picture, for one student can take 40 statements to retell the story (several did, and one retold it twice), thus giving the impression that a larger proportion of all the papers was devoted to this activity than might actually be the case. A more profitable means is that in which the unit for consideration remains the essay, and for which we derive the percentage of the total number of statements in each paper devoted to each element. From these profiles of papers, we may derive a group profile by determining the mean percent devoted to any one element in a population (the range and the standard deviation are, of course, equally useful). If we assign an element to the whole essay as well, the percentage of essays describable by each element is also meaningful.

An example of this sort of profile is found in Table I, which shows the significant elements of 43 American students age thirteen and 57 American students age seventeen, both of which groups wrote about the story "The Use of Force" by William Carlos Williams.

Table 1

Code Number	*Element*	*Mean Percent*	*Standard Deviation:* [1]
	Age 13		
123	Retelling	3.13	7.878
130	Reaction to Content[2]	11.04	15.500
232	Action	10.82	20.952
233	Character Description[3]	9.43	13.550
330	Mimetic Unspecified	7.37	8.880
400	Evaluation General	6.83	8.611
410	Affective	2.53	8.669
421	Formal	4.84	8.601
422	Rhetorical	13.20	22.930
431	Mimetic Plausibility	5.61	10.046

[1]A brief note on the meaning of the standard deviation in this sort of reporting is in order. The minimum percentage of occurrence of any element is almost without exception 0; the maximum fairly often rises to a fairly high figure (particularly if one thinks of a three-sentence paper like the following: "The doctor is silly. The girl is silly. The parents are silly."). The standard deviation will invariably be a figure larger than the mean percentage, and its main use is in indicating how far above the mean the occasional, but not the abnormal, paper is going (this would be about two and one half standard deviations).

[2]These figures are spuriously high, since, at the time of scoring, element 130 included 131; about one third of the sentences would now be scored as 131.

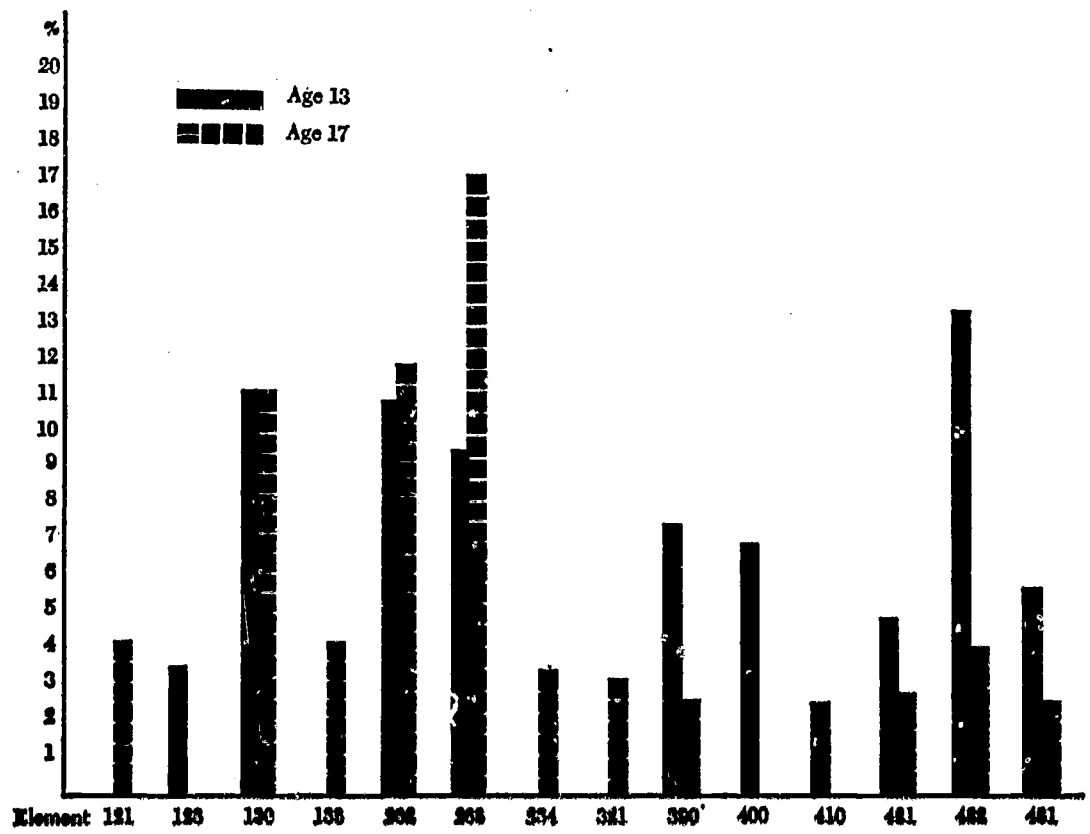
[3]When these papers were scored, the readers used a somewhat different scoring guide, which did not distinguish between character description and character analysis. The figures for 233 are spuriously high, and I would suspect that the percent for 233 would be 4.0 for age 13 and 7.0 for age 17; that the percent for 322 (character analysis) would be 5.4 for age 13 and 9.9 for age 17.

Age 17

121	Recreation of Impression	4.13	9.550
130	Reaction to Content	11.05	14.168
133	Identification	4.10	10.399
232	Action	11.73	16.747
233	Character Description	16.93	17.277
234	Character Relationship	3.40	7.111
321	Inference about Past	3.23	6.812
330	Mimetic Unspecified	2.65	5.192
421	Formal Evaluation	2.86	6.610
422	Rhetorical Evaluation	3.95	8.577
431	Mimetic Plausibility	2.60	6.000

These two patterns may be compared by use of a simple bar graph.

Table 2



Certain points of comparison are manifest. There is great similarity between the groups in the use of elements 130 and 232, but there are significant differences in the other elements, particularly 233 and 422. Further, the virtual absence of some elements in one group or the other is worthy of note.

Reporting by Category

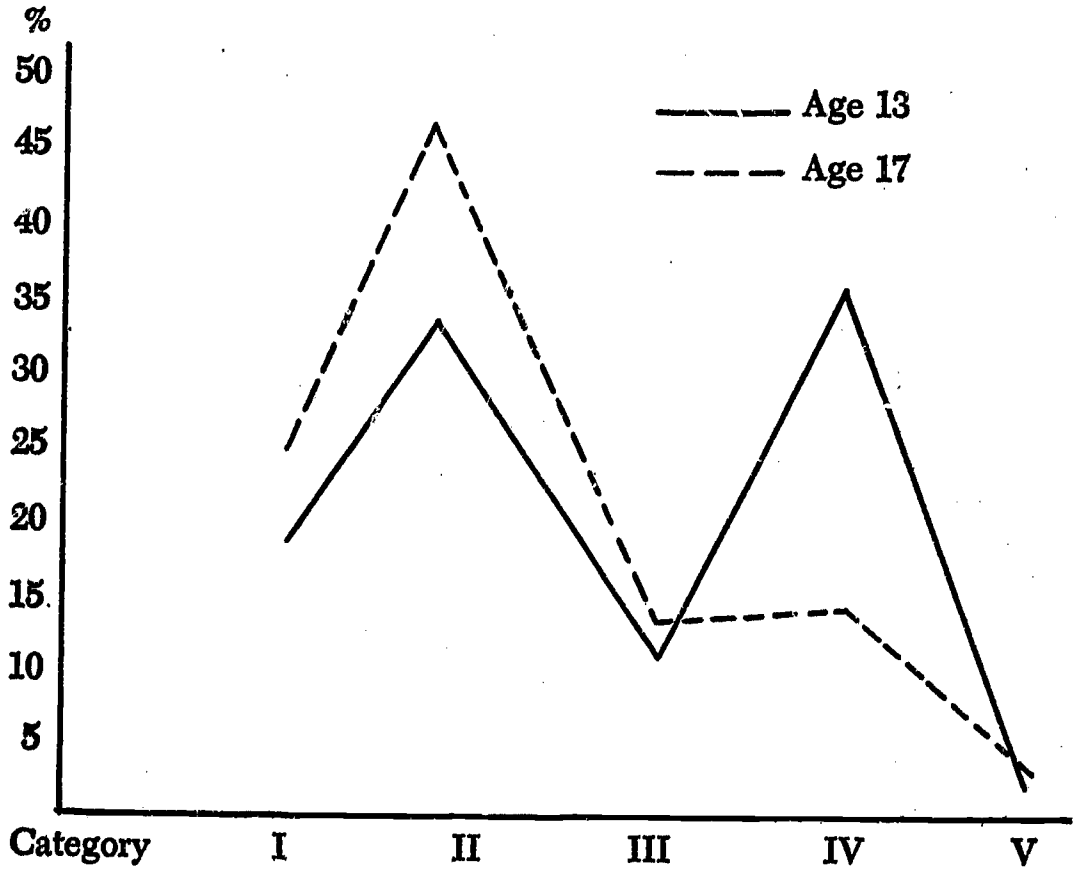
A much cruder form of reporting makes these discrepancies even more apparent, since it reduces the number of points of comparison to the five categories (including the miscellaneous one). Figures for the two groups are as follows (these are percentages of the total number of scorable sentences in each group).

Table 3

Category	*Age 13*	*Age 17*
I	18.13%	24.38%
II	33.24%	46.07%
III	10.32%	12.79%
IV	35.09%	14.29%
V	2.22%	2.87%

Graphically, the difference is even more striking.

Table 4



The drop in frequency of evaluation among the seventeen-year-old students is dramatic, as is the rise in frequency of perception. Both are probably explainable in terms of the high school curriculum.

Reporting by Subcategory

Dramatic as it is, this second method may perhaps strike one as overly simple, for it lumps together elements that are disparate. A compromise between the elements and categories is available in the subcategories. One could simultaneously forestall the danger of over-simplification and avoid too great a complexity by using them as reporting units. These twenty-four reporting units could certainly define a single paper adequately and could also be used for whole populations. I would suspect that they could also be useful for the classroom teacher. A comparison of our sample on this basis is as follows:

Table 5

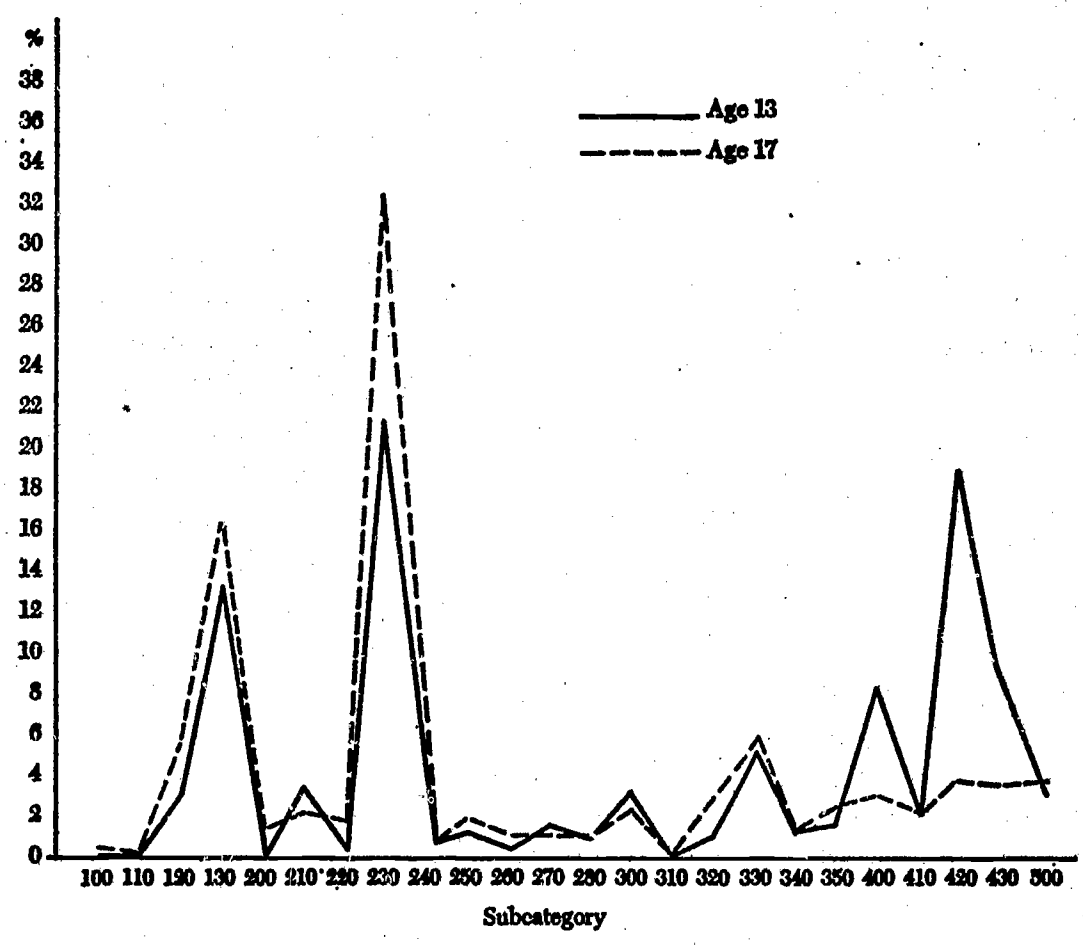
Subcategory	*Age 13*	*Age 17*
100	—	.29
110[4]	—	—
120	3.90	5.71
130	13.18	16.46
200	.23	1.53
210	3.68	2.20
220	.53	1.71
230[5]	21.49	32.25
240	.87	.78
250	1.55	1.91
260	.38	1.13
270	1.60	1.48
280	1.00	1.17
300	3.63	2.42
310[4]	—	—
320	.95	3.23
330	5.01	5.97
340	1.16	1.26
350	1.73	2.48
400	8.30	3.14
410	2.53	2.26
420	18.95	3.94
430	8.05	3.87
500	2.22	2.87

[4]Subcategories 110 and 310 did not exist as separate from 100 and 300 respectively when these scorings were made.

[5]See note 3 on p. 49.

Graphically, the differences between the use of subcategories by the two age groups is as follows:

Table 6



Such a form of reporting makes a clearer comparison between the two groups than does a representation by category. It shows the great difference between their uses of the elements of perception of content, and both their similarities and their differences in the subcategories of evaluation. Reporting by subcategories has the virtue of including the range of responses open to the population but does not permit the subtle analysis allowable in a report by significant elements.

Each of these methods of reporting has its own uses, and anyone doing research would be well advised to consider what form he thinks his reporting should take. The teacher who seeks to use content analysis as a guide to his planning or as an aid to his students might make best use of the third method. Certainly clear, it can point out the direction a student or a class is taking.

Scoring by Paradigm

All three methods take as their base point the student or a student population. A second base point method is perhaps more profitable for the historian of ideas or for the person doing research on a large scale than it is for the classroom teacher. That base point is a typical pattern of elements. As one looks at the essays of a group, one may see that half of them have the essay element, say, of hortatory interpretation; the other half that of mimetic evaluation. (At the time our first set of essays were scored, no essay element was assigned.)

One could take each group and see if any patterns of elements appeared among the sentences of each essay type. Suppose that 80 percent of the hortatory interpretation essays contained sentences coded: action, character perception, character analysis, point of view, and historical context. Suppose that 70 percent of the mimetic evaluation essays contained sentences coded: action, character perception, mimetic interpretation, interpretive context, character analysis, and relation of events to the writer's life. One could see that certain elements are common to both types of essay—action, character perception, and character analysis—but that each type of essay has certain elements that are peculiar to the type. With the essay element, these subordinate elements form a paradigm for the essay type. Later essays could be compared with the paradigm to see whether the paradigm is viable, and then the paradigmatic essays could be related to other variables like sex, age, and so forth. In effect, the paradigmatic essays would show that a part of the group is distinguishable by cognitive styles.

Any paradigms, of course, could be set before the study, and one could see how many, whose essay code was similar to one of the preselected codes, followed the appropriate paradigm. Such paradigms would be based not on actual order, but on a logical or commonsensical order of support. The following ten paradigms are intended as examples of ways in which essays about a literary work may be generated. Taking the form of "strings," they start at the left with the element number describing the dominant point or the topic of the essay and proceed through the elements that one might well expect to find supporting the topic. The logic behind these strings is simple: an essay of formal evaluation would call for the elements of perception of form as evidence for that evaluation; so, too, an essay of intentional evaluation would demand statements of the perception of intention. Beyond this first order of support there may be a second or third order,

but the existence or nonexistence of these orders depends more on the student's sense of rhetoric than on his literary response. Although one might expect these elements, one would not be surprised were they left unmentioned. All one could expect would be that the essays having as their essay designation the head number would include as a significant percentage of their statements ones classified under the succeeding numbers. Where the strings include numbers in columns, these columns indicate elements or subcategories that approximate the same order of support of the head element.

I

410	120	260	210
	130		220

An essay of affective evaluation will first be supported by statements about the writer's engagement, then, most probably, by statements about tone or general effect and about language or literary devices that produce that tone.

II

420	250	260	210
	240		220
			230
			270
			280

An evaluation of the author's method will contain references to the structure of the work or to the relation of form and content and, subsequently, to the effect of the work. The next order of support would include references to the various elements of perception of parts or to the elements of classification. The writer would deal with the language, literary devices, or content of the work and quite possibly with its genre or context.

III

430	330	230
	340	260
	350	

Evaluation of the author's vision would hinge upon interpretation of the work, be it mimetic, typological, or hortatory, and then upon the work's content and effect (particularly the author's point of view).

IV

350	320	230	260
			130

A hortatory interpretation would call for some interpretation of the content of the work and therefore on its perception, but it would also include reference to effect and quite possibly to the writer's reaction to the work's content, that is, the private effect of the work.

V

340	300	220
	310	230
	320	250
		270

A typological interpretation would call first for the interpretation of the parts of the work (and for the use of the elements listed under interpretation general) and then for the writer's perception of literary devices, content, structure, and genre.

VI

330	320	230

A mimetic interpretation would call for statements about the interpretation of content and the perception of content.

VII

260	220	110
		210
		310

An essay that sought to describe the tone of a work would concentrate on its literary devices as the writer perceived or interpreted them or the feelings they aroused in him.

VIII

250	210
	220
	230

An essay describing the structure of a work would concentrate on the work's language, literary devices, or content.

IX

240	210	310
	220	320
	230	

An essay on the relation of technique to content would call for the same elements as would an essay on a work's structure, but it would very well include statements of the interpretation of the parts of a work.

X

130	230	320	330

An essay in which the writer spoke about his reaction to the content of a literary work would have many statements about his perception of that content, as well as statements about his interpretation of various parts of the content and a mimetic interpretation of the work as a whole.

Summary

These four methods of reporting, then, seem the most fruitful:

1. *Percentage of statements in a paper devoted to each element.* This method keeps the essay as the reporting unit and allows the derivation of a mean percentage for a population. Although it would define the population well, it should not be the only picture of a population or subpopulation.

2. *Profile by category.* Though such a method would provide a gross description of a large population, which could be easily

correlated with other variables, it would not give a meaningful definition of the group as a whole. This method, too, yokes two papers that might be radically different (e.g., the paper which deals in plot and that which deals in historical and biographical backgrounds would both be listed as papers that were predominantly perceptual).

3. *Profile by subcategory.* This method provides a fairly quick way of describing a group and avoids the problems of oversimplification involved in method 2. Perhaps the best for comparing large populations, it should be supplemented by method 1 for describing differences within a population.

4. *Profile by paradigm.* Lost here is the student as the main reporting unit and with it particular differences between students as well as the eccentric response, but gained is a configuration that describes a general pattern or a series of general patterns. Each pattern could be recorded with an arbitrary digit, and correlations between patterns and other variables could easily be made.

These four general methods of reporting provide varying degrees of accuracy in description and varying degrees of ease in making comparisons between groups. Obviously, other means of reporting and other aspects of the essay might seem important to an individual researcher. Of interest might be the beginnings and ends of essays, the relative frequency of a particular element and the unspecified subcategory of which the element forms a part, the frequency of an element in the total output of a population, and others. But these are special uses of the schema. Those I have listed are, I think, applicable to most inquiries that a teacher or scholar might wish to make. The degree of fineness he wants to use is up to him.

CHAPTER IV

THE IMPLICATIONS FOR TEACHING

Any attempt to define a discipline or an aspect of a discipline is a two-edged weapon. Though definitions allow one to describe and discriminate, they too often give one the license to restrict oneself and others. The idea behind the compilation of the elements of writing about a literary work was the simple one of portraying the variety of responses to the literary work—a variety which would encompass the writing of the past and of the present, of the sophisticated and the naive. As we came to see that an order could be imposed on this variety, we also came to see the ways in which this order could be misused.

The elements of writing about literature are neutral, but as I talked with teachers, from the United States as well as other countries, I came to see that not all regarded them neutrally. As happens to so many things in this world, people immediately attached values to them or asked if such values existed. "Is the best paper the one with the most elements?" "Is the paper that doesn't evaluate poorer than the one that does?" "My students only write about their engagement, isn't that terrible?" To all of these questions I would answer no, not necessarily. What I have portrayed are the various forms which a student's response to literature can take. Some of them are latent in everyone; some are necessarily learned. The order or sequence of response has a vast potential—just consider the number of discussions, essays, articles, and books on *Hamlet*. The value of any one order lies primarily in the way in which it is presented, in the accuracy of the perception, in the cogency of the interpretation, in the persuasiveness of the evaluative position, in the intensity of the testament of engagement. Conversely, the poor paper is poor not because it talks about character instead of point of view, not because it values moral order over formal order, not because it tells of the personal not the public value of the work, nor because it finds that the work has psychological meaning not mythic meaning. Each of these valuations of a paper on literature is a nonce value, and we all know that the definitive book about *Hamlet* can never be written.

But of what use are the elements of writing about literature to the teacher if no hierarchy can be made of them? Their worth comes precisely from their neutrality, from their assertion that any one element is as viable in an essay or a discussion as any other. By considering this notion, the teacher is liberated from an imposed system, free to create his own system if he so desires, free to show the student the consequences of any system the student has accepted, free to develop and educate the students' own sensibility.

Let us suppose that a high school class is reading *A Tale of Two Cities*. Let us further suppose that of three students in the class, one immediately says, "This book is all about horrors of revolution." The second one says, "No, it's all about journeys; Dickens makes his characters travel through space and time, and all their travels are connected." The third one groans, "Teacher, I don't know what they're talking about, but I will say this, Dickens sure makes an exciting story and I feel as if I'm right in there with Sidney Carton." According to the elements, the first student is interpreting the story in a hortatory-social fashion, the second is describing its structure, and the third is expressing his identification. (That these three comments are hypothetical and that few students would be so glib or so positive go without saying.) Given this situation, the teacher has several possibilities open to him. He could pick one of these responses—the first, say—and discuss it at length. This approach might depress the other two students. He could even say, "You all have missed the point; it's a book about resurrection" (typological-archetypal interpretation), but this would not be the best pedagogy. He could see how each of the responses might be deepened: "Why do you think they are horrors?" "How do you think he makes these connections?" "What gives you that feeling?" Then, he might ask what connections there might be among the three points of view.

Let us take the last method. To ask each student to develop his primary response is to ask him to be responsible for what he says. The maker of a summary statement about a literary work should be able to support it, and he has a variety of means of support. The means depend, to a large extent, on the end. In the first chapter I have defined the four main ends: engagement, perception, interpretation, and evaluation.

The development of responsibility for one's expression of engagement is in part the development of self-consciousness. We cannot prove our identification with a text; we cannot persuade others to

have our reactions, our assent, our impressions; we can but describe them and explain them. We can say what the nature and depth of our engagement are, and we can show what caused us to become engaged. The student who said he was "right in there with Sidney Carton" could tell us what he meant by "right in there" and could perhaps tell us how he got that feeling. This discussion would probably refer to interpretation of the character, to description of the character and characterization, perhaps to style, to aspects of diction, and to evaluation of the work. Ideally, the process of examining one's engagement would lead to an awareness of the literary forces that act on the individual, of his values, and of his own sensibility—all this without losing the initial spark of engagement. This sort of discussion, I think, can begin early in the child's schooling, earlier perhaps than the discussion of complex perceptions or interpretations, because the child always has recourse to *his* own encounter with the work.

Discussion of values, too, can begin early, for evaluation, though to a lesser degree than engagement, is tautological and ultimately inviolable. To say, "I am caught by the work," and to say, "The work is good," are affirmations that can be denied only by their contraries, and such denials are not necessarily negations. Deny the teacher might, but the teacher's denial is not going to educate the student. If the teacher explains his denial, if he says why he was not caught or why he does not think the work good, perhaps his shifting the ground can cause the student to change his mind. It is the discussion of grounds that is educational, not the discussion of conclusions.

Such is not the case with perception. When the student examines his statement of perception, he has recourse only to the text. The student who made the statement about journeys in *A Tale of Two Cities* must support his generalization by showing that the characters do indeed travel continually back and forth between London and Paris, between past and present. He must look, in sum, at the narrative line and plot of the work and at its imagery. These constitute the data behind his statement, not its grounds, and he can prove the validity of his statement by showing that the data are sufficient. Such a comment as that about journeys is, of course, complex enough so that there is room for doubt as to the sufficiency of the data; not so with simpler perceptual statements like "The poem is in iambic pentameter" or "The narrator is the hero." These are verifiable by the text itself combined with a conventional set of terms. For example, *hero* must mean what the majority of readers assume it to mean, or

it must be redefined for the writer's purposes (such as *protagonist* or *champion*): either definition or the redefinition allows for verification of a statement about the literary fact. Similarly, a classificatory statement is subject to empirical verification, even a statement about that debatable topic, intention. If the author announced his intention to write the "Great American Novel" on his next try, and the student finds that the author's next novel is a vast panoramic work on Asian mores, the student may say that "X's novel did not fulfill his avowed intention." Even though many might deprecate its importance, few would disagree with this statement, and fewer would attack its accuracy. Statements of perception then are objective statements of generalizations about objective phenomena, and the responsible statement is the one that does not violate the integrity of the literary work.

Interpretive statements are similar both to perceptual statements and to evaluative statements in that they derive from the data that form the text but combine that data with a ground for interpretation. The student who says that *A Tale of Two Cities* is about the horrors of revolution must first show that the author's attitude towards one revolution is a horrified one, that he is condemning it. Once he has performed that not too easy task, he must then assert that an attitude towards one revolution is an instance of a similar attitude towards all revolution, that, in effect, the French Revolution is a symbol of revolutions. This second point can be attacked either by one's saying that the symbol is not a symbol or that the object of horror is not Revolution but the mob. This shifting of emphasis from the political to the social can probably not be supported by recourse to the text, because the text allows for both emphases. "It depends on how you see it," is a common cry of students whose interpretations have been criticized by their teacher. The *it*, too often, has been considered the text, but is *it* not rather the world, or the world in the text? The world can be viewed in a number of ways. So too can the heterocosm, that other world that is the literary depiction of the world.

Similar to this sort of general interpretation are the particular interpretations which we call character analyses, or stylistic interpretations. These, too, demand assent to the bases of interpretation, be they psychology, logic, or symbolism. When a person says of Coleridge's lines

> When mountain-surges bellowing deep
> With an uncouth monster-leap
> Plung'd foaming to the shore,

"The rhythm of these lines imitates the motion of the surf," he is positing both a connection between sound and sense and a notion that the surf has a characteristic rhythm. Both the literary and the "natural" givens must be accepted before assent can be given. Similarly, an assertion about Sidney Carton's being a young man characterized by despair calls for acceptance or reasoned agreement about the relation of the portrayed Sidney Carton to the characteristic and about the nature of the characteristic itself.

A statement in any of the categories, then, really should demand knowledge of the implications of that statement, as they relate to the writer of the essay, to the literary work, and to the world of rational discourse. I would suggest that the teacher who brings out into the open these bases, implications, and relationships allows his students to become conscious of what they are doing: to become self-conscious and therefore self-reliant.

Does this self-consciousness inhibit enjoyment of literature? After all, one may argue that engagement is the primary goal in literary education. So it is, for without engagement—unspoken or spoken—there is little point in reading literature. It becomes a mechanical exercise, pursued only for the sake of being the best sophist and angels-on-the-head-of-a-pin counter. A complex mythic interpretation of *Huckleberry Finn* is valueless if no one wants to read the book; its value is tarnished if it becomes more important than the book. To the extent that this is true, equally true is the counter that omnivorous reading without any thought is of equally tarnished value. The unthinking absorption of books is peripherally educational in the same way as is intricate analysis pursued for its own sake. There is, however, a balance, and this balance would seem to be the aspiration of education in literature. One makes students read *Huckleberry Finn* not merely to foster amusement and not merely to receive research papers on Mark Twain's attitude towards Sir Walter Scott. One asks students to read the novel to develop their response and their capacity to respond, and they develop these things by examining themselves, their world, and the novel. The teacher's function is to strengthen this examination and to make it exciting and stimulating. And perhaps painful, for self-examination is not always pleasant, and it should certainly never be a vapid exercise.

The elements provide a tool for this examination, although not the only tool. Not intended as the great panacea for education, they can help the teacher find ways to lead his student through the dif-

ficult process of attaining a responsible attitude towards himself and literature. Further, they can serve as one of the points of departure for curriculum experimentation. The four categories of response are, I would suggest, latent in every student, even the elementary school student. The child who wants the story read the same way over and over again both perceives and is engaged by form. The child who says, "Pooh is a funny bear," is moving towards interpretation, and the one who says, "That part is good because it's spooky," is evaluating. Engagement is in the child: so are perception, interpretation, and evaluation. The child's response is Protean; it may simply become undisciplined if the child learns no way of ordering his response. These alternatives depend on the outcomes that the curriculum has specified.

Curriculum goals in literature have stressed all four of the categories of response when they have used such terms as "appreciation," "understanding of our literary heritage," "finding meaning in literature," "developing critical standards and attitudes." Each of these shibboleths receives greater or lesser emphasis (but emphasis still) in almost every curriculum guide. For this reason—and here I return to the third possibility open to the teacher of *A Tale of Two Cities*, that of finding the connections between the various statements of his students—the categories and elements enable the teacher to create a synoptic view of the process of response. Obviously there are threads, perhaps even links, between various statements, between one reader's objectified sense of horror and another's subjective sense of excitement and identification, between both of these senses and the perceived pattern of journeys or the interpreted one of resurrections. The most important link is the work. It is, after all, simultaneously one thing—a vision mediated by an author's words—and many things—the experiences of its readers as they read it. There is another link, that of the process of talking or writing about literature as outlined in the first chapter in this book. These two, the literary work and the individual who responds to it, can be used, I think, as the foci for any statements that that individual can make about a work, and these two theoretical foci could well serve as educational foci. The instructor or the curriculum builder may weave any one of a number of lesson plans or units from the connections the work and the individual have with each other and, jointly and severally, with the author, with the domain of literature, and with the individual's world. A pattern could move from engagement and its exploration, which would necessarily lead to perception of the parts and of the whole that cause that engagement,

and possibly to interpretation, classification and the history of literature, and evaluation. Another could move from training in perception to interpretation and evaluation. A third could start with evaluation; a fourth with classification. Besides these general starting points, others are available for the developing of specific parts of a curriculum.

None of these patterns is really novel, for they all define existing curricular units, but in terms that are not quite like those by which they are usually defined. More than anything else, I think, the elements and categories offer a way of thinking about the curriculum and the teaching process, a way which is less hampered by "loaded" terms than many other ways. Further, it is a way that enables one to organize a curriculum. Most of all, it enables a teacher to recognize that his organization is one of many possible organizations, that it is a choice, and that it, necessarily perhaps, fails to be all-encompassing. The teacher, thus prevented from being falsely proud of his monster, is encouraged to be flexible in his treatment of literary study. To see the tentativeness of his conclusions, to recognize the failings as well as the promise of his approaches: these two recognitions are the most important ends for the student and his teacher as they set about being human in the most humane of studies.

APPENDIX A

THE PRACTICAL READER

by

Victoria Rippere

In order to apply one's theoretical knowledge of the elements to the actual reading of student essays and of professional literary criticism, one must adopt a new set of reading habits and conventions. Reading an essay for the elements it contains differs in two major respects from the usual way of reading or grading essays on literary works. First, the purpose of reading by elements is to describe and classify the statements in the essay, not to evaluate or be informed by them. Second, the basis on which the statements are classified is that of the processes which are being performed in them and the subject matter of which they treat, not their style or the assertions they make.

The method of reading by elements is basically a form of reductionism. A statement is reduced from an assertion to a unit of subject matter. A clarification of terms is in order. The *subject matter* of a statement is what is being talked about; the *assertion* of the statement is what is being said about the subject matter. In the two sentences, "It's raining" and "It isn't raining," for example, the assertion is the whether-or-not, the subject matter is the weather. It is often necessary to reduce statements to their subject matter to penetrate through the words to the processes of thought that underlie them, to distinguish between statements that may "sound" alike but which are *talking about* quite dissimilar things.

Take, for example, these three sentences from student essays:

x "I didn't understand why Holden acted that way."

y "I didn't understand what actually happened to Holden in the end."

z "I didn't understand the meaning of *The Catcher in the Rye*."

At first, all three sentences look more or less alike. All three writers have failed to understand something, and they would probably be graded accordingly if their papers were being read for "correctness." But, though all three writers assert their failure to understand, each is talking about a different area of comprehension. Writer *x* talks about the character's motivations, writer *y* reveals that he has not brought enough background experience to his reading of the story to deal effectively with information already implicit in it, and writer *z* makes the generally interpretive statement—"The story had a meaning"—but fails to define that meaning.

How does the reader arrive at these distinctions? It will be the purpose of the following pages to define and explain the "ground rules" and techniques which have proved helpful and efficient in reading and scoring essays according to the elements they contain.

1. The Statement as Unit

The basic unit scored in an essay is, for practical purposes, the statement.[1] A statement is most often considered to be anything that is set off by its own terminal punctuation, including sentence fragments and epithets. "Fie! No quotation marks!" would be scored as two statements.

2. The Statement as Discrete Entity

The statement must be treated as a discrete entity so that the element it contains is independent of the context in which it occurs. To treat the statement as a discrete entity independent of its context helps the reader to avoid second-guessing the writer, that is, trying to divine his intention where it is not explicitly stated. For example, in the pilot study using the elements, a thirteen-year-old American wrote: "This is a terrible story. No quotation marks." The readers at first disagreed about the scoring of these two statements. One reader suggested that both be scored "Evaluation—formal." Another, however, pointed out that although the author's omission of

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[1]Our term *statement* has as its linguistic parallel Kellogg W. Hunt's "T-unit," a unit "grammatically capable of being considered a sentence." *Grammatical Structures Written at Three Grade Levels*, National Council of Teachers of English Research Report No. 3 (Champaign, Ill.: 1965), p. 21. However, the T-unit, which is a linguistic unit according to structure, is not necessarily a "literary" unit; a writer usually has used simple, complex, or compound sentences, and even fragments, deliberately in order to convey meanings, nuances, and relationships. Hence, the statement is the basic unit for scoring here.

quotation marks from the dialogue in his story *might* have been the writer's reason for condemning it, the other reader had no way of telling for sure from the sentences as they stood; and, he pointed out, it might equally well not have been the writer's reason for finding the story terrible. The sentences were finally scored "Evaluation—unspecified" and "Perception —grammar and typography," each reaction being treated as if it had occurred independently of the other.

3. THE STATEMENTS OF AN ESSAY NUMBERED AND SET OFF

a. *Marking simple statements*

In the pilot study it was found useful to number each simple statement in the essay with a small, raised number (*ex.* "I like the poem"[1]) and to place a slash between statements (*ex.* "I liked the poem./[1] It is a sonnet./[2]). Statements were numbered consecutively throughout the essay rather than by paragraph and series within paragraph.[2]

b. *Marking compound and complex constructions into statements*

As each clause of a compound or complex sentence may contain a different element, it may be advisable, when numbering the statements of an essay, to set all compound and complex constructions apart for special treatment. A double slash (*ex.* //) is convenient for this purpose. The scoring of these constructions is discussed in section 8.

4. ORDER OF CLASSIFICATION

The order of specificity in scoring sentences is category, subcategory, element. It is often easier to place a sentence within a category and subcategory than to decide exactly which element it contains, particularly in the case of interpretive and evaluative statements. When in doubt, the reader should refer back to the definitions and explanations of the individual elements.

5. REDUCTION

For the purposes of this sort of content analysis, most sentences are considered to have a basic form (*ex.* "he is") and

[2]See method of numbering statements under Sample Essays and Scoring, beginning on p. 75.

three transformations—negative ("he isn't"), interrogative ("is he?"), and negative-interrogative ("isn't he?"). A technique indispensable in scoring by elements is to reduce questionable indicative sentences to their basic, positive form.[3] Reduction is especially useful in overcoming one's tendency to concentrate on assertion at the expense of subject matter. When a writer, for instance, says, "I didn't identify at all with Lady Macbeth," though he says he didn't identify, he is nonetheless talking about identification, and to reduce the sentence to the basic "I identified" makes the subject matter of the statement readily apparent.

6. READING OF QUESTIONS

When the words "how," "where," and "why" occur in direct and indirect questions, we have found it a useful convention to "read" them as the phrases "in some manner," "at some time," "in some place," and "for some reason" when the questions are reduced. The direct question "When did the author write this?" becomes, when reduced, a statement of either historical or biographical classification: "The author wrote this at some time (in history, in his lifetime, or during his career as a writer)." The indirect question "I don't know why the author wrote this" reduces to a statement about the author's intention: "The author wrote this for some reason."

7. KEY WORDS

Certain words—nouns, verbs, adjectives, articles, and adverbs—may point to category, subcategory, or even element. Although such key words may be modified by their context, looking for them may save the reader much time in scoring essays.

a. *Nouns*: Often the writer will use a term (or synonym) by which one of the elements is defined. This is most frequently true of statements of perception.

"The *tone* is one of detachment."

"There is very little *imagery*."

b. *Verbs*:

(1) When the writer speaks of himself in the first person,

[3]For purposes of this study, passive transformations are not included, because they present no problems for content analysis and do not have to be reduced.

the verb he uses will often reveal the direction if not the precise nature of his thought. "I like," for example, prefaces a personal judgment, which may be either of the form of the work or the work as a whole or of some aspect of the content.

(2) Modal verbs and verb tenses may often serve as a key to element, especially in certain borderline cases, if one considers to whom the verbs refer. Compare the following statements gathered from student essays on William Carlos Williams' story "The Use of Force":

(a) "The doctor should have given the child a sedative."

(b). "If I were the doctor, I would have given the child a sedative."

(c) "If I were the author, I'd have had the doctor give the child a sedative.

(d) "In such a case, a doctor would have given a child a sedative."

(e) "The child was probably afraid that the doctor would give her a sedative."

In all five the writer holds the work up to a reality more familiar to him than that of the story. Despite this basic similarity, however, each statement contains a different element.

The (a) statement is an example of the writer's *Moral reaction* to characters or incidents. He does not assent to the "otherness" of the work and treats the situation of the story as if it had occurred in reality. He judges the character's behavior in the situation by his own personal, implicitly moral, criteria. The key to scoring is the unqualified assertion that the character *should have done something other than what he actually did in the story.*

The element in the (b) statement is *Identification.* The writer uses himself as a criterion in judging the character's action. The condition contrary-to-fact (If I were, I would . . .), referring to writer and character, serves as a key to the element.

The condition contrary-to-fact of (c), referring to the writer and the author, reveals *Retelling* to be the

element of the statement. Using the given story as his point of departure, the writer posits his own version of it.

In the (d) statement the writer proposes what would happen if the situation were real. This differs from moral reaction to content in that the writer here holds the situation up to a reality that does not impinge on the story. His criterion is normality. The key word is really the indefinite article; presumably *any* doctor would act this way. The work is considered as a mirror of reality; the element is *Interpretation—mimetic social.*

The key to element in statement (e) is the word "probably." The element is *Character analysis,* an inference about the character drawn from the writer's knowledge of human behavior.

c. *Adjectives*: When the writer uses adjectives which imply a value judgment ("good," "bad," or comparative and superlative forms of these, and their adverbs) in reference to the content, characters, or incidents of a work, his sentence is most probably a moral reaction. (If the judgment is implicit in the work of which he writes, the statement may be perception or interpretation as well.) Used in reference to the form or rhetoric of a work or to the work as a whole, such adjectives (and their adverbs) most probably accompany an evaluative statement.

"The character's behavior is terrible." (probably Moral reaction)

"The thematic interplay of light and darkness is well done." (Evaluation—rhetorical)

d. *Articles*: As was seen in example (d) of the section on verbs ("In such a case a doctor would have given the child a sedative"), the indefinite article may indicate the element of a statement in which it occurs. The same is true for nouns used in a collective sense without an article, and for the definite article when used with a class noun.

"This story concerns doctors and children." (Typological-social)

"This story tells about the adult's defeat by the child." (Typological-social)

e. *Adverbs*: Adverbs such as "normally," "often," "usually,"

"generally" also modify Mimetic-interpretive statements in many cases. They refer to "us," to "people" or to groups or classes of people ("grownups," "the poor," "sick people"), to how "we," "people," or those groups are, and to what they do in reality.

> "Normally couples don't pretend to their friends that they have a son when indeed they haven't."

Such statements are mimetic rather than typological because they compare the work and the world rather than the patterns of each.

8. Scoring Compound and Complex Statements

Depending on the degree of precision with which he wants to read, the reader may choose to score each predication of certain compound and complex constructions separately. Sentences to be scored as two are those whose clauses are joined by coordination (*and, but, or, nor, for*) or by subordinating conjunctions used as coordinating conjunctions (*however, sometimes, although*). Sentences with causal and conditional subordination (*since, because, if,* and sometimes *although*) would still be scored as one sentence. Although this procedure was not found feasible for use in the pilot study because of the volume of material which had to be handled, it might prove useful for teachers with classes of normal size.

If the reader chooses not to score each predication separately, he may score each whole compound or complex statement as a specific instance of a higher generalization.[4]

> "I think the title fits, but another one would have fit better." Although the second clause borders closely on redaction (*Retelling*), the sentence as a whole is a statement about the work's coherence as an aesthetic object and would be scored *Evaluation—formal.*
>
> "Nothing more than a social study, this story should not be analyzed for stylistic and rhetorical devices." Though the first phrase classifies the work, it is subordinate to the statement citing perceptual stance in the second clause.

[4] See footnote 1, p. 68.

9. SIMPLE SENTENCES WITH MORE THAN ONE ELEMENT

a. *All elements in the same category*

When a simple sentence contains more than one element (as in a series of predicate adjectives) and all the elements are in the same category (or subcategory), the statement may be scored as the general or unspecified element for that category (or subcategory). Researchers may agree, however, to break the sentence down.

The statement "This is an exciting (*Affective*), convincingly realistic (*Mimetic plausibility*), and well-written (*Rhetorical*) story" would be scored *Evaluation—unspecified.*

The statement "The characters' motivations (*Mimetic psychological*) and their social interactions (*Mimetic social*) are like those of real people" would be scored *Mimetic general.*

b. *Elements in different categories*

When a simple statement contains more than one element and these elements are in different categories, the sentence may be reduced to two separate statements and scored as such, or put into category V (unclassifiable) and later examined.

The sentence "This story is unbelievable and unpunctuated" would reduce to the statements "This story is unbelievable" and "This story is unpunctuated," which would be scored *Engagement—Assent* and *Perception—grammar and typography.*

10. PARAGRAPH SCORES

Though in theory it should be possible to assign each paragraph of an essay an overall element score, it was found in the pilot study that such scoring cannot be done with appreciable consistency and certainty. The reason for this difficulty is the general miscellaneousness of most indented groups of sentences usually called paragraphs. These do not provide the clear and coherent structure on which a paragraph score would depend.

11. ESSAY SCORES

Though it is difficult to assign a dominant element to

most paragraphs, it is relatively simple to decide on the one or two elements which characterize the general approach of an essay. The reader looks at each essay as the sum of its parts, which sum is usually a higher generalization of those parts or the specific instance of an even higher generalization. In the first case, for instance, an essay made up of statements about character (perceived and interpreted) and concluding with a summary sentence of psychological interpretation would be scored as a psychological interpretation, the subcategory (whether mimetic, typological, or hortatory) depending on the sentence itself. An example of the second case would be an essay made up of statements about metaphor and imagery (mostly perceived) and without a concluding generalization, which would be scored *Literary devices*. As one can see, the basis for scoring on this level is less "objective" than sentence-by-sentence scoring; nevertheless, any experienced teacher finds little trouble in giving an element to an essay, less in assigning it a category.

Scores at this level will often include elements or subcategories which describe procedures or approach (relation of rhetorical parts to rhetorical whole; relation of technique to meaning; character analysis, etc.).

12. DATA

An inevitable concomitant of reading by elements is a proliferation of data in the numerical coding of each sentence. This information is better committed to paper, as it is the nature of numbers to be swiftly and efficiently forgotten. Though scores may be recorded in any convenient manner, a suggested format is shown in Appendix C.

SAMPLE ESSAYS AND SCORING

Following are four short essays on the story "Eddy Edwards III" by Nemo Schreiber. Each essay is in the manner of a writer at a different level of sophistication—an eighth grader, a high school junior, a college sophomore, and a professional critic. Where different readers have disagreed on scoring, their divergent scores, with their justifications, are given.

The essays are meant to illustrate not only how essays are numbered and scored, but also, as a group, how different groups typically

approach the problem of writing about literature. Though the essays are constructed, anyone familiar with the groups whose writing they illustrate will immediately recognize typical traits. We have chosen to base the essays on an imaginary rather than an actual work of literature in part to assure that the reader's preconceptions about a particular story would not interfere with his unbiased perception of these differences of approach.

A. Essay in the manner of an eighth grader

I didn't like the story "Eddy Edwards III."/[1] It really had no point at all./[2] It began and ended in the middle and there was nothing in between./[3] Also it seemed unrealistic because nobody acts like that./[4] The people in the story are Eddy and his parents and the babysitter, who is named Marie./[5] Eddy has a hamster named Tony./[6] The only thing that happens in the story is the babysitter lets the hamster escape by accident and Eddy kills the babysitter by accident./[7] Why did he do that?/[8] Even if it *was* an accident he shouldn't have killed her./[9] It was not a very good story./[10] I think it was very psychological./[11]

B. Essay in the manner of a high school junior

"Eddy Edwards III" is the story of a boy's rebellion against his parents./[1] Eddy is 14 years old but they insist on leaving him with a babysitter when they go out at night./[2] Eddy resents their lack of confidence in him./[3] He seeks to break the bonds which hold him./[4]

Perhaps his parents are right in considering him a child, though./[5] He still has temper tantrums, as for example when the hamster escapes and he throws the glass ashtray at the babysitter and kills her./[6] He probably *wasn't* old enough to be left alone./[7] Children often want to bite off more than they can chew and adults must restrain them./[8] But if they hadn't left him with the sitter, he wouldn't have been able to kill her./[9]

I think the story is trying to ask questions, which is what stories are supposed to do, but I'm not sure which ones./[10] It seems as though Eddy's parents should feel responsible for their son's terrible crime./[11] They feel guilty to start with, which is why they leave him with the

sitter./[12] They got him the hamster too./[13] But they had no way of knowing that all this was going to happen./[14] The story seems to be about guilt./[15] But the real question it raised is what would have happened to this immature child if the parents *had* left him alone./[15]

C. Essay in the manner of a college sophomore

Nemo Schreiber's "Eddy Edwards III" seems at first a rather contrived tale but on closer inspection appears a subtly provocative open-ended dialogue on childhood and society./[1] The voices in the dialogue are the contradictory forces at work in the life of Eddy Edwards III./[2] Eddy is the son of guilt-ridden, overprotective, neurotic middle-class parents, who leave their fourteen year old son with a babysitter when they go out in the evening, four nights a week./[3] The first voice is that of "experience" in Blake's sense of the term—Eddy wants to grow up and resents the sitter./[4] The other voice is that of "innocence" (also Blake)—he has a beloved hamster, Tony, and he for a while remains totally unaware of the sitter's less than proper interest in him./[5] The voice of experience eventually drowns out the voice of innocence./[6] Eddy becomes aware that the sitter is a girl./[7] There follows a highly comic interlude of several weeks' duration where Eddy must don a mask of innocence in order to gain experience —at his unwitting parents' expense./[8] His method is to act young./[9] He devotes inordinate attention to Tony and like a spoiled child threatens to misbehave when the sitter arrives./[10] The double meanings are thick./[11] Ironically, his parents decide that this excessive behavior is cause to discontinue the sitter./[12]

On the last night the sitter is to come, tragedy strikes./[13] Marie inadvertently lets the hamster escape from its cage and Eddy becomes hysterical./[14] In rage he heaves a heavy cut glass ashtray at Marie, killing her./[15] When his parents arrive home, he has recaptured the lost hamster and strangled it, symbolically./[16] He sits on the floor, struck dumb among the corpses of his lost youth./[17]

The story does not draw any conclusions./[18] It leaves the reader to decide for himself./[19] In this respect it is very similar to the

Brechtian open-ended theatre with its well-known "alienation effect."/[20] Schreiber's style in this story is also similar to Brecht's./[21] He writes with a coolness unequalled in any of his longer stories./[22]

D. Essay in the manner of a professional critic

As is obvious from its title, "Eddy Edwards III," by the late Nemo Schreiber, is a modern version of the English ballad "Edward, Edward" and, by extension, of the Oedipus myth./[1]

Allusions to both sources are frequent throughout the story./[2] The child psychologist's warning that young Eddy is a potentially destructive child and should not be left alone parallels the oracle's decree./[3] His mother's craftiness in leaving her son with a sitter is analogous to that of Jocasta./[4] The constant allusions to the boy's flat feet—"Eddy clomped down the stairs," "He stumbled out of the room"—recall Oedipus' twisted feet./[5] And when in the final gory scene the boy sits senseless before the corpses of the hamster and the babysitter, Mr. Edwards asks: "Eddy, don't you recognize your own father?"/[6] The dialogue in the discovery scene echoes that of the ballad, given, of course, a certain leeway for modern diction: "Eddy Edwards, what's that red stuff all over your hands?"/[7]

Yet despite the frequency and intricacy of allusion in its allegorical structure, the work is sorely lacking in other, perhaps more important, qualities—in worthiness, in taste, and in literary merit./[8] In his enthusiasm for innovation, Schreiber has overlooked the most primary aspect of modern mythic writing—the *point*./[9] To reclothe a myth in modern dress is to appropriate a traditional structure for some purpose./[10] To appropriate a traditional structure for no apparent purpose suggests to the perceptive reader that the author either could not devise one of his own or else regarded the myth as a convenient clothes-tree on which to hang limp dialogue./[11] This would seem to be the case with "Eddy Edwards III."/[12] A flatfooted, gumchewing, wisecracking, sexually precocious preadolescent is a sorry replacement for the godforsaken king of ancient Greece./[13]

The story's one redeeming grace is the unfortunate hamster, Tony, an engaging creature drawn with the author's occasionally penetrating powers of observation./[14] It is regrettable that the late Professor Schreiber did not devote himself more to developing his potentially fine descriptive talent, especially in the light of his notable failure to achieve even modest success with more ambitious literary forms./[15]

Sample Scoring

Writer A

Paragraph	Statement	Element	
1	1	400	Evaluation general
	2	300	Interpretation general
	3	253	Structure
	4	330	Mimetic general
	5	233	Character description
	6	233	Character description
	7	232	Action
	8	322	Character analysis
	9	131	Moral reaction
	10	400	Evaluation general
	11	300	Interpretation general

Essay Score: 400 Evaluation general

Writer B

Paragraph	Statement	Element	
1	1	231	Subject matter
	2	232	Subject matter
	3	233	Character relations
	4	322	Character analysis
2	5	131	Moral reaction
	6	232	Action
	7	132	Conjecture
	8	302	Interpretive context
	9	132	Conjecture
3	10	300	Interpretation general
		273	Interpretive tradition[5]
	11	355	Hortatory-ethical
	12	322	Character analysis

[5]The reader who scored the sentence "Interpretation general" read it as: "I don't know the point of the story," or, "The story had a point." The reader who scored it "Interpretive tradition" saw the statement as one about what stories are supposed to do.

	13	232	Action
	14	321	Inference about past or present action
	15	341	Typological psychological
	16	132	Conjecture

Essay Score: 300 Interpretive general

Writer C

Paragraph	Statement	Element	
1	1	342	Typological social
	2	340	Typological general
	3	233	Character description
	4	315	Derivation of symbols
	5	315	Derivation of symbols
	6	341	Typological psychological
	7	232	Action
	8	341	Typological psychological
	9	322	Character analysis
	10	232	Action
	11	300	Interpretation general
	12	314	Inferred irony
2	13	232	Action
	14	232	Action
	15	232	Action
	16	315	Derivation of symbols
	17	341	Typological psychological
3	18	300	Interpretation general
	19	300	Interpretation general
	20	272	Traditional classification
	21	272	Traditional classification
	22	204	Style unspecified
		281	Author's canon[6]

Essay Score: 340 Typological unspecified

[6]The reader who scored the sentence "Style unspecified" saw the sentence as a general characterization of the author's style. The reader who scored it "Author's canon" saw the writer contrasting the author's style in this work with his style in other works.

Writer D

Paragraph	Statement	Element	
1	1	273	Interpretive tradition
2	2	224	Allusion
	3	313	Inferred allusion
	4	313	Inferred allusion
	5	313	Inferred allusion
	6	232	Action
	7	220	Allusion
3	8	400	Evaluation general
	9	433	Thematic importance
	10	301	Interpretive stance
	11	284	Intention
		423	Typological rhetoric[7]
	12	502	Rhetorical filler
	13	435	Symbolic appropriateness
4	14	421	Formal evaluation
	15	400	Evaluation general

Essay Score: 435 Symbolic appropriateness

[7]The reader who scored the sentence "Intention" saw this sentence as a statement about the author's intention as an artist. The reader who scored it "Typological rhetoric" saw the writer as judging the author's action.

APPENDIX B

SUMMARY AND CODE LIST

The Elements of Writing about a Literary Work

The following summary is drawn up for the purposes of scoring and reporting student essays. Each category, subcategory, and element is given a three-digit code number. The first digit establishes the category; the second, the subcategory; and the third, the element. The category and subcategory headings are italicized for those who wish to identify the code numbers that would be most appropriate for a large-scale study (see Chapter III).

100 *Engagement General*
110 *Reaction to Literature*
- 111 Reaction to author
- 112 Assent
- 113 Moral taste

120 *Reaction to Form*
- 121 Re-creation of effect
- 122 Word associations
- 123 Retelling

130 *Reaction to Content*
- 131 Moral reaction
- 132 Conjecture
- 133 Identification
- 134 Relation of incidents to those in the writer's life

200 *Perception General*
- 201 Citation of stance
- 202 Objective perception
- 203 Reading comprehension
- 204 Style unspecified

210 *Language*
- 211 Morphology and typography
- 212 Syntax
- 213 Sound and sound patterns

214 Diction
215 Etymology, lexicography, and dialect

220 *Literary Devices*
221 Rhetorical devices
222 Metaphor
223 Imagery
224 Allusion
225 Conventional symbols
226 Larger literary devices
227 Irony
228 Presentational elements
229 Perspective

230 *Content*
231 Subject matter
232 Action
233 Character identification and description
234 Character relationships
235 Setting

240 *Relation of Technique to Content*

250 *Structure*
251 Relation of parts to parts
252 Relation of parts to whole
253 Plot
254 Gestalt
255 Allegorical structure
256 Logic

260 *Tone*
261 Description of tone
262 Effect
263 Mood
264 Pace
265 Point of view
266 Illusion
267 Orientation
268 Image patterns

270 *Literary Classification*
271 Generic classification
272 Convention
273 Traditional classification

274 Interpretive tradition
275 Critical dictum
280 *Contextual Classification*
281 Author's canon
282 Textual criticism
283 Biographical
284 Intentional
285 Historical
286 Intellectual history
287 Sources
300 *Interpretation General*
301 Citation of stance
302 Interpretive context
303 Part as a key
310 *Interpretation of Style*
311 Symbolic use of style
312 Inferred metaphor
313 Inferred allusion
314 Inferred irony
315 Derivation of symbols
316 Inferred logic
320 *Interpretation of Content*
321 Inference about past or present
322 Character analysis
323 Inference about setting
324 Inference about author
330 *Mimetic Interpretation*
331 Psychological
332 Social
333 Political
334 Historical
335 Ethical
336 Aesthetic
340 *Typological Interpretation*
341 Psychological
342 Social
343 Political
344 Historical
345 Philosophical
346 Ethical

347 Aesthetic
348 Archetypal
350 *Hortatory Interpretation*
351 Psychological
352 Social
353 Political
354 Historical
355 Ethical
356 Philosophical
357 Aesthetic
400 *Evaluation General*
401 Citation of criteria
410 *Affective Evaluation*
420 *Evaluation of Method*
421 Formal
422 Rhetorical
423 Typological rhetoric
424 Generic
425 Traditional
426 Originality
427 Intentional
428 Multifariousness
430 *Evaluation of Author's Vision*
431 Mimetic plausibility
432 Imagination
433 Thematic importance
434 Sincerity
435 Symbolic appropriateness
436 Moral significance
437 Moral acceptability
500 *Miscellaneous*
501 Divergent response
502 Rhetorical filler
503 Reference to other writers
504 Comparison with other works
505 Digression
506 Unclassifiable

APPENDIX C

SUGGESTED FORMAT FOR SCORESHEET

Each essay is scored in one column. Sentences are grouped by paragraph and listed vertically. The topic sentence in each paragraph may be distinguished from supporting sentences by red pencil underlining. In this manner, distribution of sentences in paragraphs, length of paragraphs, and the processes of logic and topic-supporting relationships within the paragraph are readily and graphically represented.

Teachers may find it interesting and enlightening to compare the scores of different groupings of people—girls and boys, good and average students, humanities-oriented and science-oriented students. A perhaps more immediately practical suggestion would be to score each student's several essays for the term or semester on a single sheet and to observe over a longer period of time the consistency or change in his patterns of writing about literature.

SCORESHEET

Student 1			*Student 2*			*Student 3*			*Student 4*		
Paragraph	*Sentence*		*Paragraph*	*Sentence*		*Paragraph*	*Sentence*		*Paragraph*	*Sentence*	
	Cat.	El.		Cat.	El.		Cat.	El.		Cat.	El.
Essay Score			Essay Score			Essay Score			Essay Score		

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SOME KEY HYPOTHESES AND IMPLICATIONS FOR TEACHING

Four methods of reporting on responses to literature seem the most fruitful: by element, by category, by subcategory, and by paradigm.

Of the various forms which a student's response to literature can take, some are latent in everyone; some are necessarily learned.

Four categories of response are engagement, perception, interpretation, and evaluation. They can help the teacher lead the student through the difficult process of attaining a responsible attitude toward himself and toward literature.

The order or sequence of response has a vast potential; the value of any one order lies in the way in which it is presented, in the accuracy of the perception, in the cogency of the interpretation, in the persuasiveness of the evaluative position, in the intensity of the testament of engagement.

The teacher can help a class to find connections between the various statements of his students—the categories and elements enable the teacher to create a synoptic view of the process of response.

The literary work and the individual who responds to it can be used as the foci for any statements that the individual makes about a work, and these two theoretical foci could well serve as educational foci.

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